U.S. Agency for International Development

HRDA Best Practices

HRDA Best Practices Series
Contents:

HRDA's Best Practices Guide and Subguides**:**

Strategic Training for USAID
(How-to guide for implementing Best Practices)

Best Practices Guide
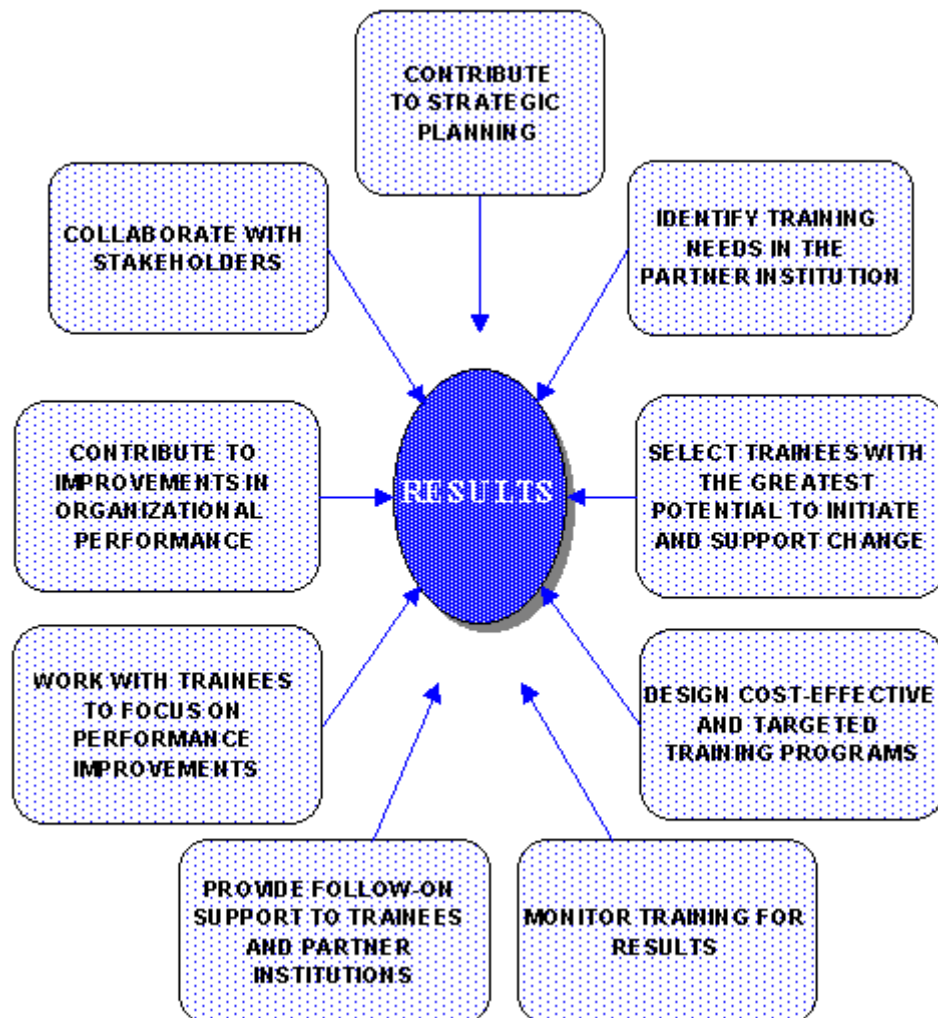
Reinventing USAID's Approach to Training

Basic to USAID's approach to reengineering has been "rethinking,
streamlining, and improving every aspect of how it does business."
(Results-Oriented Operations Reengineering 4/94) USAID's Office of Human
Capacity Development (G/HCD) has taken on this challenge by reinventing

USAID's approach to training host country nationals, with the objective o achieving results from training investments. Through the *Best Practices Guide*, and companion subguides, HCD offers guidance to those who plan, manage, and monitor training. As a training professional, you can keep pa with USAID reengineering and achieve results from training by following t "best practices" of training as presented in these documents.

The fundamental theme of the *Best Practices Guide* is result-oriented training. There are a few key concepts tied to this theme, concepts that fundamental to each best practice:

"Improvements in institutional performance" is the result you are seeking from training. You must continue to be concerned about the satisfaction levels of trainees and whether they are gaining the intended skills, knowledge, and attitudes. However, you should shift your focus to trainin application and its effects on the services and product your partner delivers to its customers. Through training—or human capacity development the broader level—you are trying to help your partner improve its performance.

Training produces "intermediate results" that enable a higher level of result to be achieved. Training contributes to "improved institutional performance" which is an intermediate result, or a precondition, that enables USAID to achieve a strategic objective. Training, then, is a tool used to achieve results that contribute, at least theoretically, to strategic objectives. The linkages between training results, the intermediate results of Results Packages, and strategic objectives are demonstrated in a Results Framework, or the development hypothesis that : the basis of USAID assistance.

Training must be integrated with other activities in a Results Package. Evaluations of training have taught us that training, by itself, is unlil to achieve results beyond the individual level. However, when you strategically mix the timing and substance of training with other USAID activities, you will greatly enhance your chances of achieving higher-lev results.

A change in approaches requires that you redefine roles and relationship Your role is no longer confined to managing training, processing document or tracking individual participants. You are a key stakeholder and must l a role in strategically planning training, managing for results, monitor: performance, and demonstrating the link between training and strategic objectives. Teamwork and accountability are essential to results-oriente training, which means that you must:

> •**be informed about USAID's reengineering efforts, your missions' strategic objectives, and the role that training can play**

> •**establish a relationship with strategic objective teams**

> •**be proactive and participate in the early stages of planning as a training professional**

•**collaborate with SO/RP teams, partners, customers, and contractors at each stage of the proc**

Applying these concepts will change the way you approach every aspect of
planning, implementing, and monitoring training. Examples of the ways you
approach will change are shown below.

From a traditional approach	→	To a reengineered approach
providing training as a single, independent input	→	strategically integrating training with other activities in a Results Package
assessing training supply and demand	→	analyzing skill deficits in partner institutions
processing individuals	→	collaborating with partner institutions
upgrading skills and knowledge	→	improving institutional performance
selecting trainees based on individual merit or potential	→	selecting individuals who can affect institutional; performance
outlining individual learning objectives in Training Implementation Plans	→	identifying expected results and outlining plans in Stakeholder Training Agreements
enrolling trainees in off-the-shelf courses	→	designing a 'total learning experience"
providing certificates and sponsoring alumni associations	→	designing post-training support that enhances institutional performance
assessing satisfaction levels	→	measuring changes in performance

Elements of the traditional approach remain important, but are no longer
sufficient in a reengineered USAID. We must enhance the traditional appro
by shifting our emphasis to a results-oriented approach to training. The
Best Practices Guide and the subguides are intended to help you make the
transition.

Overview of the *Best Practice Guide* and Subguides

The *Best Practices Guide* is designed to help you, as training professiona
reinvent the way you plan, manage, and monitor training. It is not a poli
manual. It is not a blue print. It is a "road map" to help navigate the
process of training. The destination is the point where training makes it

optimal contribution to achieving USAID strategic objectives.

The *Best Practices Guide* highlights nine practices, as shown on the following page. The practices are reminders, or "road signs," of what need to be done to achieve results. For each practice, the guide summarizes it importance, strategies and key steps for implementing it, and where it is addressed in USAID directives. The practices are not listed in strict sequential order; you may seek guidance on any particular issue at variou points in the process. The *Best Practices Guide* reflects the lessons lear from ten years of experience with the HRDA project, from other USAID-fund training projects, and from leading U.S. universities and private corporations.

HRDA has also developed subguides related to several best practices. The subguides are written to provide greater details, illustrate key points, offer practical examples. At this point, subguides are available on five best practices:

Contribute to Strategic Planning

Collaborate with Stakeholders.

Identify Training Needs in the Partner Institution

Contribute to Improvements in Organizational Performance

Monitor Training for Results

With the *Best Practices Guide* and subguides, you will be prepared to offe sound input to your mission's reengineering efforts. Your understanding the concepts and practices will make you a valued and respected member of any team. Above all, you will increase your chances of planning, managing and monitoring results-oriented training—training that contributes to you mission's strategic objectives.

1.   Contribute to Strategic Planning

Why?

Contributing a human resource perspective during the problem-analysis and decision- making stages of planning ensures that: training serves as a strategic tool in meeting USAID objectives; training implementation has a results-orientation; and there is a more meaningful basis for performance monitoring.

How?

Participate on key planning teams.

Identify teams that might require or benefit from the expertise or a huma

resource or training specialist.

Negotiate participation on these teams with the team leader or other colleagues.

Prepare to be an effective team member.

Become familiar with reengineering concepts and processes.

Gather knowledge by reviewing relevant documents and talking to key playe at USAID, counterpart organizations, potential partner institutions, and other international agencies.

Develop or upgrade skills in problem-analysis, critical thinking, teamwo negotiation, and decision-making.

Plan to contribute to and affect the planning process.

Contribute a unique perspective to the teams' work.

Encourage teams to consider the human resource implications in achieving strategic objectives and results.

Serve as a resource on issues related to institutional performance and h capacity development.

Provide methods and tools for assessing human resource constraints.

REFERENCES: ADS Chapter 253

253.3.1 Strategic objective teams make sure that human capacity developm needs are adequately planned for as integral components of mission activities, and are competently administered. They identify development impact objectives of training and plan for their achievement.

2.   Collaborate with Stakeholders

Why?

Reengineered operations within USAID require a participatory approach wit stakeholders involved in and supportive of USAID development programs ar activities. The intermediate results desired through training cannot be achieved without stakeholders working together to ensure improved performance of trainees as well as improved institutional performance.

How?

Use skills in strategic planning, needs assessment, institutional development and facilitation as well as expertise in planning and managi training to develop and strengthen collaboration.

Identify stakeholders for each training intervention proposed as part of Results Package.

Identify the client within each stakeholder group. Clients will be those individuals who have vested interests in achieving specific institutional performance changes as well as decision-making authority that affects the successful completion of the training planned.

Establish working relationships with clients, including meeting with them discuss needs and training solutions and to develop a Training Partnership Agreement.

Work throughout the training process to maintain client commitment and support for training outcomes and to document post-training changes in the workplace.

REFERENCES: ADS Chapter 253

253.2   Training is based on a formal training agreement among stakeholders and clients reflecting their mutual interests and responsibilities.

253.5.1f   ... stakeholders may include the particular mission, participant's employer, programming contractor, training provider(s) and others.

253.5.1f   Stakeholder training agreements set mutually agreed upon development impact objectives, a program for achieving those objectives, time table, and outcome measures. Agreements may be generic for all train attending a given program or be specific to the individual trainee.

3.   Identify Training Needs in the Partner Institution

Why?

Training design cannot proceed without the identification of training nee within partner institutions. Training needs analysis must takes place wit the organization targeted to benefit from training so that the specific performance weaknesses that hinder the achievement of USAID's intermediat results can be addressed.

How?

Determine which strategic results can be addressed through human resource development.

Assess the current situation and determine the changes in knowledge, skil or attitudes (KSA) required to attain desired results.

Determine the improvements in knowledge, skills, or attitudes that training can bring about.

Determine whether or not a training solution is a cost-effective and efficient means to attaining desired results.

Involve stakeholders in the assessment process: include USAID, technical experts, host government leadership in sector, partner institution leadership, workgroup supervisors, potential trainees, and end-users of products and services.

Conduct needs assessments for each institution, group and individual targeted.

Provide training where there is the greatest opportunity for improving an institution or a group's ability to contribute to strategic objectives.

REFERENCES: ADS Chapter 253

253.5.li   The mission shall assign the following duties...

performing appropriate training needs assessments...

4.   Contribute to Improvements in Organizational Performance

Why?

In many cases, Results Packages are designed to improve the capacity and performance of institutions that are key to achieving USAID strategic objectives.

How?

-    Identify and work with clients in the partner institution.

-    Require that partner institutions or groups:

-    demonstrate a commitment to improving performance and have a track record of some successes

-    have the resources available to use the new skills and knowledge of the trainees upon their return

-    guarantee involvement of leaders and supervisors in identifying trainees, setting training objectives, preparing trainees for the learning experience, helping ensure their application of skills upon return, programming follow-on and monitoring results

-    provide for adequate management while employees are away for traini

-    can serve as a model to other institutions of how to leverage train to help an institution develop

- Work with supervisors and managers to clarify how training will benefit their staff, improve performance and support departmental objectives.

- Establish, in coordination with the partner, a baseline of present performance in order to permit reliable monitoring of the training results when necessary.

- Formalize management's support and specify their responsibilities i the Training Partnership Agreement as well as Training Agreements f each training program planned.

REFERENCES: ADS Chapter 253

253.2.2   Training is based on a formal training agreement among stakeholders and clients reflecting their mutual interests and responsibilities.

5.   Select Trainees with the Greatest Potential to Initiate and Sustain Change

Why?

A rigorous process should be applied when selecting trainees, just as whe strategically targeting institutions. The process should produce candida who are able to improve the partner institution's performance, thereby contributing to USAID objectives.

How?

Involve stakeholders and former trainees in decisions about recruitment a selection criteria and methods.

Address gender and, if appropriate, other factors (such as desiring a geographic spread of training benefits) when making decisions about candidate recruitment and selection.

Require written selection criteria and a selection committee for every training activity proposed.

Ensure that trainees are those in the organization who are most likely to

- learn from and use training on the job

- have the greatest impact on organizational change

- have the skills and motivation to share their knowledge with others

Formalize trainees' responsibilities before, during and after training in Training Agreement to be signed by trainees and their employers.

REFERENCES: ADS Chapter 253

253.4.12 Training Agreement: An agreement among stakeholders in a training activity (normally including the mission, participant, employer other interested host country institution, training contractor and provic which includes a mutually agreed upon set of development impact objective a training plan for achieving those objectives, a time table, and a set outcome measures.

253.5.2f Missions or central bureaus will seek to achieve a figure of a least 50% women in the annual gender distribution of new trainees.

6.   Work with Trainees to Focus on Performance Improvements

Why?

When trainees understand and focus on the objective of the training, the can more effectively help their institutions realize the performance char that contribute to USAID strategic objectives.

How?

Include representatives of trainee groups during needs assessment to hel determine skill deficiencies and gaps in knowledge.

Clarify training objectives and the responsibilities of trainees in a written Training Agreement.

Provide pre-training information that creates realistic expectations abou the technical, social, financial and cultural aspects of the program.

Develop strategies to ensure thorough monitoring of training, especially during lengthy training programs, taking special care to keep trainees ar their supervisors mindful of the intended outcomes of the training investment.

Require trainees to develop action plans for making post-training performance improvements.

Work with trainees and their supervisors to develop performance monitorir systems to assess post-training application of new knowledge, skills, and attitudes.

REFERENCES: ADS Chapter 253

253.5.2   Training designed and implemented by the Agency is to be structured, managed, monitored and evaluated for maximum development impa

of returning trainees, sustainability of their efforts, and overall cost
effectiveness of their training.

7.   Design Cost-Effective and Targeted Training Programs

Why?

To improve institutional performance and contribute to USAID strategic
objectives, the design and delivery of training activities must be
needs-based, planned collaboratively, and application-oriented.

How?

Select training components (including pre-training, training and
post-training activities) that are appropriate to the trainees' and
institutions' needs, the desired results, and the workplace environment.

Ensure that trainees understand the purpose and objectives of the traini
program. Have them identify both personal and workplace benefits from the
training proposed.

Access and analyze information on the range of local, regional, and
U.S.-based training options in relevant fields. First analyze local
training capabilities, then regional, then U.S.-based.

Involve local training providers in the planning, development and
implementation of training to reduce overall cost and increase local
capacity for sustainable solutions to on-going training needs.

Use a "total learning experience" approach in training design and enhance
technical training with complementary components to promote leadership or
increase sensitivity to other areas of USAID interest, such as stewardsh:
of natural resources or growth of democratic institutions.

REFERENCES: ADS Chapter 253

253.5.1g ...all training must consist of three integrated components: 1
pre-training or pre-departure orientation and goal setting, 2) the train:
event, and 3) follow-on activities. A monitoring-evaluation component fo
each training activity or package must be developed and regularly applied
assess the performance of trainees and the impact of training in achievi
results.

253.5.1b   Although training cost is not the determinant variable in
training design and site selection, it is serious enough to be considered
every instance.

8.   Provide Follow-on Support to Trainees and Partner Institutions

Why?

Follow-on activities designed to reinforce newly acquired knowledge and skills and to encourage performance improvements will increase training transfer to the institution.

How?

Determine, with USAID planning teams and other stakeholders, the types and amount of follow-on activities most likely to contribute to training transfer and budget accordingly.

Ensure that follow-on activities reinforce the application of new skills contribute to an enabling environment for training transfer. Factors contributing to such an enabling environment include:

management's support for the application of new skills

providing role models in the workplace for new behaviors and practices

refresher and problem-solving sessions related to new skills

developing mentoring relationships among managers and trainees

providing trainees with opportunities to practice new skills

Identify local organizations (such as professional or alumni associations to help implement follow-on activities.

Maintain stakeholders' commitment to achieving training objectives by investing appropriate resources in follow-on.

Support a variety of follow-on and professional enhancement activities such as refresher training, structured peer mentoring, networking, and leadership development.

REFERENCES: ADS Chapter 253

253.5.li(4)Post-training program support is defined as:

- establishing that appropriate follow-on programs in place for returning participants are congruent with strategic objectives

- facilitating re-entry of returned participants into the activities the strategic objective teams

-       maintaining and updating participant training program records

9.   Monitor Training for Results

Why?

Monitoring training helps USAID assess performance changes made by trai
and organizations and determine whether those changes contribute to
strategic results. What is learned from monitoring can be used to impro
training and to document USAID's progress.

How?

Meet with stakeholders to review what information they want from monitor:

Review the Results Framework and Results Packages to see what role train:
is expected to play.

Clarify the linkages between training and the intermediate results expec

Identify performance indicators to measure training results at several
stages of the training cycle.

Develop a monitoring approach that includes data collection, storage,
retrieval, analysis and reporting.

Monitor training results as a regular, daily activity in conjunction witl
other priority activities.

Learn from information generated from monitoring to improve management,
training quality, and results obtained.

Arrange for a more structured evaluation if monitoring provides insuffici
information for the needs of stakeholders or USAID.

REFERENCES: ADS Chapter 253

253.5.1d   The results of USAID-sponsored training programs must be defin
tracked, analyzed and reported as part of the operating unit's performanc
measurement, evaluation and reporting plan.

253.5.1g   .... A monitoring-evaluation component for each training activ
or package must be developed and regularly applied to assess the performa
of trainees and the impact of training in achieving results.

Subguide 1:   *CONTRIBUTE TO STRATEGIC PLANNING*

Source Information (1)

INTRODUCTION

Contribute to Strategic Planning, is the first in a series of subguides
which amplify steps from HRDA's *Best Practices Guide* for the strategic
management of training. Adopting best practices in the everyday planning
design, management and monitoring of training will increase the results w
are looking for from our training investments and contribute to achieving
USAID mission-level strategic objectives.

Who can benefit from this subguide? This subguide will help you learn how
do strategic planning if you are a member of Strategic Objective Team
involved in and accountable for training-related decisions. For instance
you may be responsible for determining training actions to achieve
intermediate results and to allocate the necessary resources. This subgui
will define strategic planning and build your capacity to help SO Teams
benefit from the human resource development training perspective you can
bring to the planning process.

THIS SUBGUIDE ANSWERS THESE QUESTIONS

> **What is strategic planning?**
>
> **Why is planning done in teams?**
>
> **How can you bring a *training* perspective to the team?**
>
> **What specific contributions can you make?**

In Missions, specific planning for training activities begins once
Intermediate Results are identified and a Results Framework is set. But e
before a Results Framework is complete, decisions will be made that affec
training. These decisions are reflected in the critical assumptions
underlying both the Results Framework and in budgetary information contai
in the Results Review and Resource Request (R4).

This subguide is not intended as a "how to" for Mission-wide strategic
planning. Each Mission approaches strategic planning differently just as
each one determines the best approach to achieving its Strategic Objectiv
Instead, this subguide helps you understand the importance of strategic
planning to HRD (human resource development) and how to apply critical

strategic planning principles.

WHAT IS STRATEGIC PLANNING?

As a team leader would you set out on a journey without finding out where
the team needs to go and why? The purpose and destination of the trip
determined, what chance do you have of reaching your destination safe and
sound without knowing the way, the weather, the amount of fuel available and
the condition of your transport? ***Strategic planning is the process during
which we articulate the assumptions surrounding our objectives, clarify the
results we aim to achieve and sketch out the resources to put to the task.***

First, start with a clear picture of what you and the stakeholders want to
accomplish. The second step is to understand both the external environment
and USAID's internal working context. This means identifying specific needs,
opportunities, other agents, constraints, and USAID resources. The third
step is planning how to achieve the desired results. But planning does not
end there. Planning and implementation are ongoing activities that require
new approaches as circumstances change. By strategic planning we refer to a
continuous cycle of planning, designing, implementing, monitoring then
revising plans and assumptions all along the way.

Strategic planning, as a process, demands new ways of thinking—about the
past and the future. The examples below demonstrate these new ways of
thinking.

FOCUS ON RESULTS
Senior management in a company that manufactured electric drill bits came to
realize that its business was not to sell drill bits but to enable customers
to make holes. Once this result was defined they then could ask themselves,
not how to sell more drills, but how to find better ways to make holes. This
led them to begin experimenting with new laser technology that led to the
development of a completely new product. The company's result had not
changed. What changed was the way managers thought about their main purpose
and consequently the means of getting there.   BOX 1

As Box 1 illustrates, strategic planning involves asking *what must be done
differently* to better achieve the desired results. The key difference
between strategic planning and traditional long-range planning is that
long-range planning focuses on doing more of the same in the future. *But
doing more of the same is not always better*: the example in Box 2
illustrates the danger of such reflexive behavior.

The decision-makers at USAID and its partners thought that by increasing
numbers (of trainees), they would get more of the same results—remember they
defined success as "improved financial management in the Ministry." But they
failed to ask the right questions. They used *more* development tools, but
the results they were seeking had changed. Had they first asked what they
wanted to accomplish with the NGOs, they would have increased the chances of
attaining those results. Strategic planning requires accurate information

reliable

perspectives, and results-oriented analysis. The process depends not only
assumptions about the future, but about the past and the present.

DOING MORE ISN'T ALWAYS DOING BETTER
USAID/Tepal and its host government partners were delighted with the results
obtained from well- managed short-term training in financial management for
ministry officials provided at a prestigious U.S. university. They decided to
fund 20 additional training slots for employees of NGOs for the same course.
Six months after the trainees returned, USAID monitored the results and found
that of those still working at the NGOs, 75% stated they had been unable to
apply the many skills acquired during training, although they had a high
regard for the excellent training program (and they learned a lot about the
United States too).   BOX 2

Strategic planning works when we become conscious of the assumptions we a
making, establish a systematic way of using data to validate these
assumptions, and make adjustments to our plans based on the new data.   I
fact, *assumptions made during planning are as important as the plan itse*
a lesson from the IBM Company illustrates this point in Box 3.

LEARNING THE HARD WAY
IBM, one of the world's leaders in computers, nearly went bankrupt in the
eighties—by doing long- range rather than strategic planning. Senior
management consistently ignored predictions from personal computer
salespersons of an enormous increase in demand for personal computers. But
IBM's sterling reputation, based on its cutting-edge computer mainframes, led
it to concentrate on improving the technological complexity of its mainframes.
Little status and few resources were accorded to the production of personal
computers.   Senior management, who discounted the advice of personal computer
salespersons, assumed that IBM's long-term success lay in doing more of the
same—producing better mainframes more efficiently. After severe financial
losses and the success of competitors in the personal computer business, top
IBM management belatedly reassessed their earlier assumptions, changed
direction and expanded their personal computer line, but not before major
downsizing and unprecedented loss of investor and consumer confidence. BOX 3

Ox

The examples above illustrate the new ways of thinking requires for
strategic planning:

understand where you want to go (what results desired)

consider new ways of getting results

challenge your assumptions again and again

THE IMPORTANCE OF TEAMS

A review of the experience of Country Experimental Labs (CELs) shows that

USAID staff and public and private partners working in teams helped gener
an atmosphere of mutual respect and a shared commitment to the objectives
It brought about a sharper look at causal relationships, critical
assumptions and collaborative approaches to strategic planning. Similar
research in the U.S. on successful companies, government departments and
NGOs shows that mid-level staff who know the customer can contribute sour
and creative insights to planning teams that top managers, by virtue of
their remoteness from the customer, cannot make.

Multi-functional teams make better organization-wide strategic decisions
than top management alone. Such teams bring differing perspectives to be
on opportunities and problems. Team members begin to think outside the bo
of their own department and discover integrated approaches and creative
ideas. Multi-functional teams also foster collaboration across departmer
and build networks. When stakeholders, including those responsible for
implementation, are involved from the start,

their commitment to achieving results is increased,

their capacity to implement strategically improves since they understand
underlying rationale for the activities, and

they know how to monitor their environment and on-going activities in or
to maintain a strategic focus.

BRINGING A TRAINING PERSPECTIVE TO PLANNING

Familiarity with the customer and of the external environment is a cruci
element of strategic planning. This means that USAID personnel who have
day-to-day experience interacting with the customer, fill a vital niche
strategic planning.

Reengineering has brought a shift in focus from managing development
activities to attaining specific results. In many cases, these results
will be brought about through performance changes in partner institution
and target work groups. Training contributes to these performance change
and needs to be planned strategically along with other development
interventions leveraged by USAID and its partners to achieve the results
desired.

REVIEW YOUR TRAINING EXPERIENCE

Share with team members your knowledge of:

partner institutions

networks for consulting customers, partners, stakeholders

forums you are already involved in to gain updated information, perspectives

the pitfalls for how training was done in the past and a sense of how training provision could be more effective

local and regional training institutions, individuals

the strengths of local/regional training institutions/individuals

what other development agencies have done in training in the past and what they plan in the future

Although the way of planning and managing training has changed in Missio any past experience in training will provide you with a base of speciali knowledge upon which to build. Most people know more about training than they realize.

Do not underestimate the relevant information that you can contribute to team. Being aware of the strengths that you bring should enhance your participation and help you to add to these strengths.

A STRATEGIC PLANNING TOOLKIT

This section provides some simple tips for contributing more effectively strategic planning as well as some specific examples of how these tools be put to use.

THE TOOLKIT
Making sound assumptions

Formulating a results statement

Articulating critical assumptions

Ensuring plausible links between results

Detecting performance problems

Providing information

Making Sound Assumptions

Planning involves different kinds of assumptions—about the economy, about customer needs and priorities, about the link between output and a result between results, to name but a few. To ensure that these assumptions are well-grounded and realistic, we need to involve all stakeholders and relevant specialists in our planning. The assumptions made during planning will need to be reexamined periodically. If they are no longer credible, may have to modify the entire strategy.

Examine assumptions. Challenge the team members to examine their performa

and training-related assumptions. Encourage the team to plan to obtain t
relevant information on an ongoing basis.

Provide reality-check information. The environment in which USAID operat
is in continual flux. Tap as many sources as possible and provide timely
information to planning teams.

Emphasize that the process is just as important as the Results Framework.
In- depth discussion serves to build consensus and ownership so importan
to a coherent Mission-wide approach and to continued collaboration.

Rethink assumptions and seek out new perspectives. Come to the planning
process with an open mind each time, even when it appears that nothing is
new and different. The external environment is in constant flux and the
worst mistake is not to know what you do not know.

Enhance your credibility. Accurate information, delivered in an appropria
and timely way, is an effective tool.

Formulating Results Statements

USAID's planning is results-focussed rather than event-focussed.

A result statement is:	Consider these examples
Objectively Verifiable The result can be qualitative or quantitative but must lend itself to begin measured.	**SO:** Sustainable Economic Growth: Increased Value-Added in the Livestock **IR:** Increased technical and business skills for producers and investors.
Attainable: The required resources must be available and the result should be reached within 5-8 years.	**SO:** Increased Effectiveness of the Education System **IR:** Improved Classroom instruction
One-dimensional: The result statement must include only one result so that progress can be monitored.	**SO:** Community Organizations Pl Role in Local Development **IR:** Strengthened Institutional capaci
People-Oriented: The result must point to people-level benefits rather than to general improvements. The result must be expressed as something	**SO:** Increased Use of Proven HIV/S prevention Interventions. **IR:** Increased knowledge of HIV/AIDS t

gained or changed.

When considering how training can be used to reach intermediate results,
need to review the IRs and critical assumptions that have been developed
find out if they fulfill the above criteria. Going ahead with a training
solution may be premature until you understand completely the assumptions
underlying each IR.

Articulating Critical Assumptions

The term "critical assumption" has a particular meaning in the context of
developing a Results Framework and is not to be confused with the general
term "assumption." Critical assumptions are beyond the control or influe
of USAID, such as the outcome of national elections, the decisions and
actions of other donors or an unexpected decline in birthrates.

For example, let us say that the Results Framework states as its developm
hypothesis that a

                    CRITICAL ASSUMPTIONS

conditions under which a development hypothesis will hold true, or

conditions which are outside of the control or influence of USAID, and wh
are likely to affect the achievement of results in the Results Framework

        Source: ADS

10% increase in the number of trained teachers will increase the
student-teacher ratio which in turn will improve educational quality. A
critical assumption here is that the number of students remains constant
this critical assumption is proved wrong and the number of students does
fact, increase, then the student-teacher ratio will not improve
significantly and increased educational quality will not result from a 10
increase in the number of teachers.

How can you articulate a critical assumption?

List factors that could prevent one result from contributing to the resul
above it in the Results Framework

List factors that must be present in order for each result to lead to a
higher order intermediate result

Select the most significant factors from the two lists above

State the critical assumption in the positive

Ensuring Plausible Links Between Results

Once you and the SO team have articulated the intermediate results and th
critical assumptions, you need to test whether or not results are causall
linked. Your goal is to ensure a plausible link between the intermediate
results themselves and the strategic objective. You need to ask: if res
X is attained and if the critical assumptions hold true, will this help
achieve result Y?

LINKING A STRATEGIC OBJECTIVE TO A TRAINING-RELATED IR(2)

SO: *Sustainable Economic Growth: Increased Value-Added in the Livestock Sector*

IR: *Increased technical and business management skills for producers and investors*

USAID/Tepal's SO/RP Team is reasonably certain that, if training is designed
correctly and delivered to the intended beneficiaries, it will "increase
technical and business management skills" (the IR). The team has articulated
the critical assumptions underlying the SO and the IR, and has identified
training as part of the solution system required. They also believe there is a
link between the IR and the SO through which training will have its intended
effect: *If training increases the KSA among producers and investors, there
will be value added to the livestock sector*. The link is hypothetical since
the team cannot be absolutely certain that the livestock sector will improve
because of the training.

Proceeding on their hypothesis, the SO/RP Team selects a consulting firm to
work with the Livestock Producers' Association to organize two types of
workshops around the country for producers and investors. The workshops focus
on introducing basic business skills (e.g., differentiating between sales and
profits) and technical knowledge (e.g., improving hide quality and yields).
After 18 months of workshops, USAID, working through another local firm,
conducts a random test of trainees, coupled with on-site interviews, to
ascertain on-the-job application of new knowledge and skills. The survey helps
USAID discover whether the training resulted in any performance changes and
whether the changes have made any difference in the livestock sector. If
training can be shown to have contributed to performance changes in the
livestock sector, the SO/RP team will show a *plausible link between the IR
and SO demonstrated by a training intervention.*   BOX 5

Detecting Performance Problems

During the analysis of the development problem, USAID and its partners ne
to affect, you are likely to begin reaching conclusions about the nature
the problem and its causes. In almost every problem you analyze, you may
detect performance problems. For example, you may realize that having a l
student-teacher ratio alone may not improve educational quality in primar
schools. You will also be concerned about the **performance** of the teachers

Will they have the instructional materials and supplies they need?

Will they be able to work effectively in buildings with leaky roofs?

Have they mastered techniques for teaching students in what may be a thi
language?

It is important, when detecting performance problems, not to "jump the gu
and presume that a training solution will be required. Sometimes training
the solution, but not always. You must determine the causes of each
performance problem and consider the solutions needed. Possible reasons
a performance gap include:

insufficient skills or knowledge

lack of rewards and incentives

inadequate office equipment

poor utilization of staff skills

Solutions to these performance problems go beyond training and may includ
revising personnel policies, procuring equipment, changing the
organization's structure, or delegating new tasks and responsibilities t
exisiting staff. ***Only where the problem is a lack of skills, knowledge,
and/or attitudes is training an appropriate tool to help solve the
performance problem.***

Whenever there appears to be a performance problem, you can ask the
following:

Must job behavior change?

Can these changes be accomplished by improving knowledge, skills, and/or
attitudes?

If other interventions are necessary to apply the improved knowledge, sk
and/or attitudes, will they be forthcoming?

If the answer is yes to all of these questions, training should be
undertaken.

Providing Information

Strategic planners need reliable information on which to base their analy
of development problems. Information will come from a variety of sources
Team members with specialized knowledge and information can provide valua
insights to the team. Your contributions to the team's knowledge base co
include your knowledge about local instituions, groups, or target
populations. You may also be a source of information to the team on
government policy and practuce. Information that is not shared at the *r*

moment (when it can affect planning hypotheses and decisions) has no valu

You need to systematically scan for, store, access, and present informati
relevant to performance-related discussions and decisions. Ensure that y
perspectives and insights on local institutions and customers are current
and relevant to the task at hand. You can increase the value of the
information you provide by being systematic in the way you collect and
present it. This may mean being taking every opportunity to gather
information for synthesis and presentation to the planning team. Such
information can be presented in a spontaneous comment or brief presentati
in meetings, in an e-mail message or circulated memoranda between meeting
or in informal discussions between meetings.

You will be able to assist in strategic planning by having easy access to
information on:

local and regional training providers and the quality and reputation of
their training;

donors that fund training-related activities—their current and intended
commitments;

stakeholders not represented on SO teams;

a network of key informants in and outside of institutions who have relev
perspectives on performance-related issues;

a network of participant trainees.

CONCLUSION

When training funds are available, and partner institutions are looking
help, everyone wants to move quickly from the planning stage to
implementation of the desired assistance. We are often pressured into
embarking on this journey without taking the time to plan strategically.

This subguide has shown that we should:

-    stop and reflect on the critical assumptions influencing our
     objectives,

-    consider whether training is part of the solution system,

-    work with our partners to discover performance gaps, and

-    observe whether the training delivered takes us where we want to go

By reading the examples described in this subguide, you have seen how
strategic thinking and planning can be realistically integrated into your
everyday approach to training.

When you plan strategically, you train strategically.   After years of

experience in human resources development and training in the developing
countries, we now recognize clearly the link between **strategic planning** a
getting results. This subguide has provided further rationale for insist
on strategic planning when setting out to train and offers tips on how to
apply the principles in missions, with partners and on SO/RP teams.

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Subguide 2:   COLLABORATE WITH STAKEHOLDERS

Source Information (3)

INTRODUCTION

Collaborate with Stakeholders is one in a series of practical subguides i
following the HRDA's *Best Practices Guide*, a road map to excellence in hu
capacity development.

This subguide will help you, as an individual or part of a team, if you a involved in planning, managing, or implementing USAID's training investme and human resource development efforts.

As a training professional or training manager, you work in partnership v clients in stakeholder groups, such as government institutions, businesse special interest groups, USAID, and other donors. The objective of this subguide is to help you achieve results through more effective collaborat with your partners.

COLLABORATION LEADS TO FULLER PARTICIPATION OF STAKEHOLDERS

Participation: the active engagement of partners and customers in formulating ideas, committing time and resources, jointly making decisions, and taking actions to bring about a desired development objective.

Stakeholders: individuals and/or groups that have an interest in and influence USAID activities, programs and objectives. Stakeholders include **customers** (those who receive USAID services or products, benefit from USAID actions or are affected by USAID actions) and **partners** (those with whom we work cooperatively to achieve mutually agreed-upon objectives and to secure customer participation).

Source: USAID Reform Glossary

You can benefit from the strategies outlined in this subguide as you plan implement, and monitor training. Because the advantages of working collaboratively coincide with the spirit of partnership, customer service and accountability for results that are the cornerstones of USAID's reengineering efforts, these strategies also apply to other non-training development activities. Collaborative relationships promote:

•More accurate diagnosis of needs

•Increased probability that training designs are linked to specific need

•Increased probability that management will support the benefits from training

•Joint accountability for results

This subguide will help you identify the skills you need and will give you strategies for developing productive relationships with stakeholders. As training manager, you need to develop and hone the skills that will make a valuable and effective team member and partner. You also need strategie to establish and nurture collaborative relationships with both internal a external clients of each training activity.

WHY YOU SHOULD COLLABORATE ON TRAINING

TRAINING IN ISOLATION

The USAID Results Package Manager for a large natural resources package
nominates the Assistant Director of the Office of Environmental Studies for a
course in natural resources management. The RP Manager justifies his request
because "staff training for the Ministry of Environmental Protection" is
mentioned in the 1995 CPSP as necessary to achieving SO #3 (improved
environmental protection policy). The RP manager asks the USAID Training
Unit to enrol the candidate in a three-week program in July.

The Training Unit does just that: *no more no less.* The RP Manager is satisfied
until other staff in the same office request similar training programs. The
Assistant Director is content until he returns from the course and finds that
he still does not know how to calculate the economic impact of proposed
environmental policy changes. The Director of the Office of Environmental
Studies has noticed no changes in the Assistant Director's performance and has
become unwilling to collaborate with USAID on other matters because no one
consulted him about the training program.

Many of you already understand the importance of collaboration. You know
that in human resources development it is not possible to achieve
organizational impact if you work independently. You need to work as
partners with the decision-makers, or clients, who can contribute to the
overall effort in key ways. When a collaborative partnership exists, the
formula of 1 + 1 = 3 really holds true; "each member of the partnership
accomplishes more than either member could have alone" (Robinson, p. 31)

You have already learned that training managed **in isolation** with little
contact with trainees and no knowledge of the trainee's workplace is
frustrating and often leads to disappointing results.

Some of you may argue that training never takes place in isolation, but the
box to the right provides a picture that may be familiar.

What's wrong with this picture?

> • Stakeholders never assessed whether the Office of
> Environmental Planning had performance problems that training
> could solve.
>
> • They did not describe how improved knowledge or skills of
> the Ministry staff would contribute to the strategic objective
> any intermediate results.
>
> • They never agreed who would benefit most from such
> training.
>
> • They never agreed on a specific training objective.
>
> • They never agreed on the content of the training.
>
> • The RP Manager allocated scarce resources without involving
> the strategic objective team.
>
> • They never agreed how training transfer would be
> facilitated and monitored.

A COLLABORATIVE TRAINING ACTIVITY

USAID/Tepal's development efforts over the next four years focus on helping Tepal develop a fair and transparent judicial system. Currently there are numerous judicial cases that have not been transcribed for the public. This delays litigation and hampers the judicial process. To remedy the situation, one of USAID/Tepal's strategic objective teams worked with the judiciary to identify the reasons for the backlog. Through a needs assessment, they estimated that by training 60 percent of the clerical staff in reporting techniques and providing them with automated equipment, they could eliminate the backlog within a year.

USAID and the Ministry of Justice co-financed the purchase of reporting equipment. In addition, a private technical training school worked with the Ministry to develop a year-long course in court reporting. USAID provided off-shore training to two trainers from the technical school, who later developed a curriculum and trained twelve students in the first year of the program. The training course included on-the-job coaching for two months after the formal course work was completed. Training also acquainted other judicial staff with the new reporting system so that performance improvements would not be hindered by old habits. Stakeholders were involved throughout program development and implementation to ensure their support. By the time thirty graduates of the program had begun practicing new techniques, the backlog of case records was well on its way to being eliminated.

The stakeholders involved in the example are the USAID RP Manager, the Training Unit, and staff in the Office of Environmental Studies. Approximately $20,000 was spent on a training event that these stakeholde never discussed. ***That's what's wrong with the picture.***

Training-for-results requires that you involve stakeholders in analyzing organization's needs and defining training outcomes. It also means that stakeholders work together to ensure improved performance of trainees and improved institutional performance. One example of collaborative, results-oriented training is provided in the box to the right.

An important component of this successful program was that each of the training stakeholders had a vested interest in achieving the training outcome: USAID wanted to contribute to improved efficiency in the judicia system; the Ministry of Justice needed to decrease the backlog of reporte cases to increase its credibility with the new electorate, potential investors, and donor agencies; the technical school planned to market its new program beyond Tepal to neighboring countries whose judicial systems were also under reform; the trainees from the Ministry of Justice were promised salary increases for mastery of the new skills; and other judic: employees knew they would benefit from having up-to-date records on court proceedings.

HOW YOU CAN COLLABORATE WITH STAKEHOLDERS

Three strategies can help you establish effective working relationships with others who have an interest in achieving USAID's strategic objectives. They are:

- Demonstrate your consultancy skills

- Identify your clients within each stakeholder group for each training activity

- Work together to maintain a focus on performance improvements

Demonstrate your consultancy skills

The first step in working collaboratively is to assess your own skills, knowledge and experience. What do you have to offer? Training professionals who reject the notion of themselves as "paper processors" or "activity managers" will want to demonstrate their consultancy skills. Training (or more broadly human resource development) consultants offer valuable skills in training design, implementation, and monitoring, as well as skills in needs analysis, institutional development, facilitation, and team-building.

You may wonder whether you have the skills and experience required to operate as a training consultant. Chances are you do! If you reflect on your experience, you may find that you have a wide variety of skills. Table 1 provides examples to help you analyze your skills and strengths.

Table 1

Sample Skill Inventory

If you have ever . . .	You may have skills in . . .
suggested revising current training strategies to ensure a closer fit with USAID strategic objectives	strategic planning
identified non-training barriers to performance	needs analysis
asked workplace supervisors to identify the specific outcomes they expect from a staff training program	establishing indicators
asked whether the expected benefits of a training activity justified the cost of the program	cost/benefit analysis

Table 1

Sample Skill Inventory

If you have ever . . .	You may have skills in . . .
supported training co-workers together	institutional development
suggested in-country training programs and on-the-job training as alternatives to costly U.S. training	planning training activities
asked supervisors to report changes	performance monitoring
managed selection committees or advisory boards	facilitation

The skills you discover in yourself may be common among other training professionals, but they may not be typical among others in stakeholder groups and strategic objective teams. In fact, many of your colleagues and clients have very little experience developing and implementing strategies to increase individual, work unit, or institutional performance. You do. Offer your skills to teams, show them the usefulness of results-oriented training, and you will quickly establish yourself as a specialist with valuable professional contributions. The team's confidence in your skills will allow you to introduce team members to the strategies required to plan and implement results-oriented training. In other words, you will be able to convince others to apply the practices described in the *Best Practice Guide* and these subguides.

Identify the stakeholders and clients for a training activity

Identify stakeholder groups. Through its strategic planning process, USAID targets the key institutions or groups with which it will work to achieve specific results. However, to plan training effectively, you need to determine who within the partner institutions or groups you can work with to assess performance weaknesses and develop training solutions. You can identify the appropriate stakeholders by identifying who:

> • Understands the relationship between satisfying the partner institution's needs and contributing to USAID's strategic objectives

- Has a vested interest in having their performance improve

- Is willing to work collaboratively with you to enable performance improvements

One example of a stakeholder group is returned participants. Returnees are often members of other stakeholder groups (working in partner institutions, leading special interest groups, offering services as training providers) and can be found working in voluntary associations with related professional development goals. Returnees can provide a link between USAID and partner institutions, as well as to customers.

Returnees can also be sources of information about institutional performance gaps, barriers to performance changes, and the training needs of potential trainees.

The illustration below provides an example of the many stakeholders you need to identify for a particular training activity.
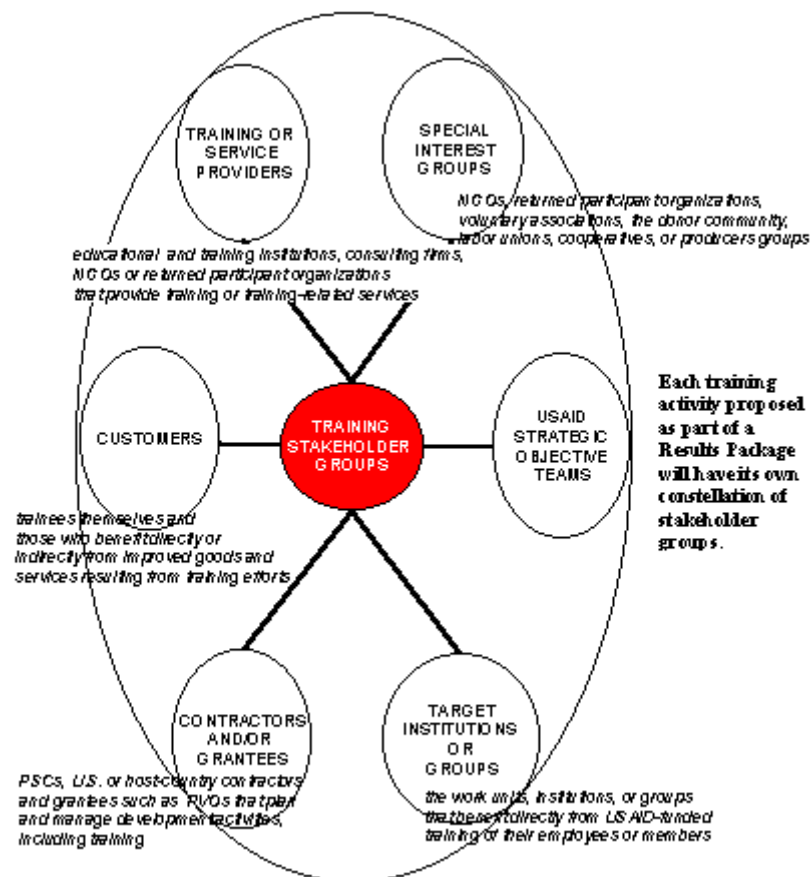
IDENTIFYING STAKEHOLDER GROUPS FOR A TRAINING ACTIVITY

WORKING WITH A PARTNER INSTITUTION

One of USAID/Tepal's result package teams has determined that the number of families that use family planning can be increased if community and religious leaders demonstrate their support for family planning practices. A needs assessment has determined that changes in the knowledge and attitudes of staff of the National Council of Churches could increase the number of families that practice family planning. More focused needs assessments have shown that the Council has been trying to improve its ability to help families cope with a number of economic and social issues. They are committed to having their members serve as spokespersons for reasoned family planning decisions. In Tepal where 80 percent of the population attends church regularly, the Council's leadership is clearly among the stakeholders USAID needs to help them achieve "increased use of modern family planning methods."

Identify a client. As a USAID training professional you work with two kinds of clients. First, you have **internal** clients at USAID, including members of strategic objective and results package teams, and activity managers who have vested interests in the results of the training program. Internal clients may manage other activities that depend on the success of the training or they may be accountable for allocating scarce resources.

You also work with **external** clients in stakeholder groups such as the organizations targeted to benefit from USAID training.

You probably cannot identify each group at the same time, because, for example, the training service provider may not be selected until you have begun working with the partner institution. As training planning moves into training implementation, the mix of stakeholders may change.

How can you identify **your** client within a stakeholder group? Is it the president, the training manager, the chief administrative officer? Who should your client be? A client for a training action is the "owner" of the organizational need that drives the training request (Robinson, p. 40-42). The client has most to gain or lose from the training effort and has the authority to decide whether to start the training activity.

You may have difficulty identifying the legitimate client within a stakeholder group. This will require that you persistently seek information about the group and its decision-making processes to identify likely candidates.

Establish a relationship with your client. Too often training professionals work in isolation. You are not always included in meaningful debates about why training is needed and what it is expected to achieve. However, you may be the only person who might ask the "right" questions such as:

- If your employees received the proposed training, would the problem you identified be solved?

- Are there other ways, besides training, to get the desired result?

A training professional who wants results from training should operate l:
a consultant. This can be done by seeking information from those who hold
it, problem-solving with those who see the benefit of the intended result
and offering ideas for creative solutions that may or may not include
training. In this role, you pose questions about organizational performar
related to training and determine what outcomes are expected from traini:
These are questions that clients are interested in addressing. They will
want their opinions heard. You will need to help clients see that traini:
can solve selected problems. From the outset, you approach your client w:
an offer to meet an organizational need, not an offer to provide training
(Robinson, p. 45-49).

Collaboration brings you and the client together as equal partners to
diagnose the problem and propose the solution. No one is viewed as **the**
expert or as **the** person who will take care of the details. This relations
may be difficult to foster if the client wants an HRD(4) person "with al:
the answers" who can prescribe training fixes for each organizational nee

This may be difficult if you feel awkward trying to influence the way
training should be planned and managed. Nevertheless, time spent up-front
establish and maintain collaboration with clients will multiply the impac
of training. And because USAID will be working with these same stakeholde
on other activities, your collaborative efforts will affect the processes
and outcomes of other USAID efforts.

Work together to maintain a focus on performance improvements

Build relationships

The results of training depend on the development of a collaborative
relationship between stakeholders. Establishing this relationship takes
time. After you identify your clients, meet with them to discuss needs ar
training solutions. You will get the best results through open, face-to-:
dialogue. Because one meeting will not suffice, decide where and how ofte
to hold meetings. For meetings involving several stakeholder groups, the
meeting location might be rotated. Some meetings with clients should take
place at their premises because this offers you an opportunity to underst
better your client's needs and priorities.

The initial meeting is an important way to establish yourself as a train:
consultant, set the ground rules for your working relationships, and asse
the commitment of clients. Refer to the Annex, *Table 1: Information
Checklist for an Initial Meeting of Stakeholders for a Training Activity*
a framework for discussions with stakeholders before developing a detaile
training agreement.

You will establish different relationships with different stakeholders. `
may set up formal partnering agreements and monitoring requirements with
partner institutions or groups that will benefit directly from USAID's
training investments. You may hold informal periodic meetings with specia

interest groups to learn of factors that might affect the training program
and to provide them with updates on the progress of training planned among
their constituent groups.

Develop written agreements

The first concrete outcome of the collaborative relationship with
institutional clients will be a Training Partnership Agreement for each
training activity or series of related training activities. Once an
agreement has been signed by key stakeholders, begin planning the training
activity by recommending course content and selecting a training provider.
Quickly moving forward on the plan, once it is agreed to, will keep the
client interested in results. Table 2 in the Annex provides an *Information
Checklist for a Training Partnership Agreement.*

WORKING WITH A SPECIAL INTEREST GROUP

In recognition of the important political develop ments taking place in Tepal,
USAID has selected a target of opportunity in the area of governance. USAID
plans to assist NGOs(5) to deliver services to their beneficiaries thereby
increasing the role of individual initiative in civil society and the private
sector. Given the number of NGOs in Tepal, USAID has decided to work with the
NGO Coalition that was formed during the 1993 election campaign. A member of
the results team has invited representatives from the NGO Coalition to an
initial stakeholders meeting to discuss mutual objectives and to lay the
foundation for a collaborative relationship. USAID hopes that working with the
Coalition, instead of working directly with NGO groups, will permit a more
comprehensive needs analysis and the development of a broad range of
activities to achieve results. During this first meeting, USAID tries to
determine which representative of the NGO Coalition has the interest and
authority to serve as a "client" for training-related activities.

Provide more than training. Beyond developing a Training Partnership
Agreement, be prepared to provide more than training to address critical
institutional needs. When USAID commits itself to working with specific
institutions or target groups to achieve development objectives, training
should be viewed as one of many tools available. The USAID planning team
needs to work closely with stakeholders to decide the appropriate mix of
investments for each result.

Monitor progress. Whatever the relationship you establish with clients,
your goal is clear: each training activity should help USAID move closer
its strategic objective. You will need to monitor progress to identify
factors that could limit the success of the program. When such factors are
identified, you and your clients need to work quickly to resolve them so
that training investments are not wasted.

One element of monitoring is determining post-training application of
skills, knowledge and attitudes (or what is also known as "training
transfer"), which begins in the design stage. You and your clients set
specific learning objectives and indicators of success for each objective.
These objectives and indicators are detailed in training agreements and

the foundation for your monitoring activities. Keep focused on these
objectives by referring to them during meetings, implementation reviews,
monitoring activities. If you lose sight of training objectives, the
potential for performance improvements will diminish.

MANAGERS CAN ENABLE TRAINING TRANSFER

Before training:

•   involve supervisors and trainees in needs analysis

•   collect baseline performance data

•   brief trainees on the importance of training, course objectives, and
application to   the job

•   develop a supervisor/trainee contract

During training:

•   prevent interruptions and transfer work assignments to others

•   communicate support for the program

•   review information on employees in training

•   plan assessment of transfer of new skills to the job

After training:

•   plan trainees' reentry

•   give positive reinforcement

•   provide opportunities to practice new skills

•   set mutual expectations for improvement

•   give promotional preference

Source: Broad, p. 170-171

In the pre-training stage, it is helpful to establish key monitoring poi
Usually the HRD(6) professional (either in the mission or working with a
contractor or grantee) will have the primary responsibility for monitori
Communication among stakeholders is essential to assessing whether the
program is keeping to schedule, to identifying implementation problems, a
to working together to resolve problems as efficiently as possible.
Throughout the training process, the workplace manager or supervisor nee
to provide the support required to ensure that training transfer can take
place. In fact, just involving workplace managers in the training transfe
process vastly increases the likelihood of organizational performance
improvements.

The time, staff and resources required for monitoring a training activity
will vary considerably depending upon the size, nature, and duration of the
training program. Table 3 in the Annex, *Key Collaborative Efforts,* provides
examples of monitoring events during different stages of the training
process.

Keep stakeholders involved. Academic or technical training programs that
last several years—with trainees far from home and out of regular contact
with their workplace— require special monitoring efforts to ensure that the
training objectives are met.

Stakeholder collaboration and involvement in the monitoring process are especially important and should involve the:

- Trainee

- Partner institution, including the work group and immediate supervisor

- Training providers

- Contractors or programming agents

- Sponsoring USAID mission

- Returned participants or returnee organizations

In some circumstances, this group may even be expanded to include the trainee's family and community. Stakeholders should know how the training program is progressing, what additional needs the trainee may have, and contributions can be expected of the trainee when the long-term program completed.

COMMUNICATION STRATEGIES

- Newsletters with updates on trainees, host country institution and the host country

- Conference calls held periodically with long- term trainees an their employers

- Broadcast e-mail messages from USAID to overseas trainees to stimulate communication

- Periodic reports from monitoring teams representing stakeholde that communicate directly with participants

- Questionnaires seeking feedback on training programs and participant progress and satisfaction with programs

These strategies can be the responsibility of stakeholder groups such returned participant organizations.

Many USAID training professionals can cite examples of training "in isolation." From one perspective, this happens when missions are not give regular progress reports by training contractors, when participants' employing institutions are not consulted about changes in programs, or wh supervisors are not told of the academic successes of trainees. From ano perspective, there are accounts of participants who fail to complete academic term reports and employers who fail to let participants know of institutional changes that will significantly affect a participant's employment status after the training program. Communication strategies f

these situations work best if they are based on a strong and collaborativ
relationship with stakeholders.

Plan for post-training support. Training "in isolation" has typically
concentrated management resources at the pre-training a

nd training stages. Pre-training planning, with little collaboration amon
stakeholders, focuses on the procedural aspects of training: making trave
arrangements, selecting a training provider, and giving trainees informat
about logistics. Post-training activities received virtually no attention
beyond issuing a training certificate. This picture must change if you wa
training programs to result in performance changes in the workplace!

When establishing the level of ancial and management support that USAID a
partnering institutions will provide for a particular training activity,
stakeholders should consider maximizing the potential returns of training
investments by including the resources required to:

- Facilitate training transfer

- Promote cross-training among trainees

- Promote the application of new knowledge, skills, and
attitudes beyond the workplace

- Strengthening leadership skills

- Support risk-taking and leadership efforts of trainees to
introduce development- focused changes in their professions,
communities, and family and personal relationships

- Allow trainees and their employing institutions to tell
their "stories" about the benefits of human resource developme
investments

Monitor training results. In order for business, organizations, target
groups, and USAID to assess the value of training investments, it is
necessary to measure and report on training results. Training should be
designed to give individuals new skills, knowledge, attitudes or motivati
that they can use—on the job, in their community, in their families or
personal relationships. If trainees accept the new ideas they encounter,
master new skills or techniques, and demonstrate changes in attitudes, th
improvements in their performance will follow. Some changes will be
observable and measurable (such as increased counseling of women on
nutritional matters or improved seed quality); others may only serve to
produce other effects that can then be measured (such as improved teamwor
in a work unit that results in increased production of handicrafts). Cons
the HRDA Best Practices subguide on *Monitoring Training for Results* for l
in monitoring results.

A CHECKLIST FOR COLLABORATION

Demonstrate your consultancy skills

Identify appropriate stakeholders and clients for each training activity

Work together to maintain a focus on performance improvements

Build relationships

Develop written agreements

Provide more than training

Monitor progress

Keep stakeholders involved

Plan for post-training support

Monitor training results

CONCLUSION

Training professionals committed to contributing to USAID's strategic objectives cannot work in isolation. No one who wants to contribute to lasting development change can work independently. Collaboration is not r but strategic collaboration for USAID's training efforts may be. The bas for collaborating with stakeholders provided in this subguide can get yo started. Practice and a willingness to work with others will take you fa

ANNEX

Table 1: Information Checklist

Initial Meeting of Stakeholders for a Training Activity

WHAT IS KNOWN BEFORE THE MEETING?

Whom are the individuals representing stakeholders?

> USAID:

> Institution:

> What institutional needs have already been identified?

> What is USAID's objective for this potential investment?

> How will it know if the training program is successful?

> What resources might be available from USAID?

>> Funding:

>> Staff resources:

>> Other:

WHAT WILL BE LEARNED AT THE MEETING?

> Who is the real client?

> Who has decision-making authority?

> Who has a vested interest in this business need?

What is current performance?

> What is expected performance?

> How can this need be addressed?

> Is training the best answer? (Are new skills, knowledge or attitude required?)

> What other factors might impede the training effort?

> What is the institution's objective for this investment?

> How will it know if the training program is successful?

What resources might be available from the institution?

> Funding:

> Staff resources:

> Other:

WHAT NEEDS TO HAPPEN IN THE FUTURE?

Table 2: Information Checklist

Sample Training Partnership Agreement

USAID Strategic Objective	Increase in net incomes of small and micro enterprise
Results Package micro Objective	Expanded opportunities and participation among small entrepreneurs in urban and rural areas
Other Intermediate companies and Results enterprises	Banks help NGOs(7) become licensed financial manageme partners in lending banks that service small and micr
Institutional Client	Name: Fatima Mbolo Title: Chief Loan Officer, Central Bank
Trainees 2, and 4	Loan officers from Central Bank branches in regions 1
Intermediate Customers	NGOs(8) in regions 1, 2, and 4
Ultimate Customers	Small and micro entrepreneurs in regions 1, 2, and 4
Institutional or Business Need	Increase in loans to small and micro enterprises
Training Objective officers	To improve financial management and MIS skills of loa
Performance 25 by end of Indicators/Targets licensing process	1. Improved skills of 10 loan officers by end of year year 2; 50 total by year 3 2. Each loan officer assists at least 1 NGO in the

each year

3. 7 new NGOs licenced in year 1; 18 by year 2; and 3 by year 3

4. Loans from Central Bank/NGO partners increase 25% year 1; 50% in

year2; 100% in year 3

5. Increase in net incomes of small and micro enterprises increase

10%; 25%; and 50%

USAID provide Responsibilities objectives and contact and relevance of the performance additional training if	**Pre-Training:** work collaboratively with stakeholders; stakeholders with information they need on USAID's standard practices; act quickly on Training Agreement **During Training:** arrange and fund training; maintain dialogue with stakeholders; ensure the quality and training program and support environment **Post-Training:** provide support for collecting data on changes; coach supervisors in support techniques; offer required; monitor results
Institutional the program, Responsibilities selection of trainees assignments to with trainees collect data on	**Pre-Training:** demonstrate and communicate support for measure performance levels; ensure open and fair including women **During Training:** prevent interruptions; transfer work others; plan for transfer of training; maintain conta and other stakeholders **Post-Training:** provide supportive work environment; performance changes and institutional results
Implementation	1. Define Training Content Target Completion Dates 2. Select Training Provider Dates 3. Select Trainees 4. Establish Training Schedule 1. 5. Provide Training 2. 6. Monitor Performance Changes 3. 7. Determine need for additional training 4.

```
                    8. Evaluate Results              5.
                                                     6.
                                                     7.
                                                     8.
```

1st Monitoring   Progress to date: Problems/Resolutions:
Report

Date:

2nd Monitoring   Progress to date: Problems/Resolutions:
Report

Date:

Table 3: Collaborative Efforts

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Subguide 3:   IDENTIFY TRAINING NEEDS IN THE PARTNER ORGANIZATION

Source Information (9)

Introduction

Identify Training Needs in the Partner Organization, is one of a series of practical subguides for following the HRDA's ***Best Practices Guide***. This subguide will help you, as an individual or part of a team, if you are involved in planning, managing or implementing USAID's training investment and human resource development efforts.

Identifying training needs is one of the essential steps of the training cycle. It is a critical pre-training activity that leads to clearly defined training goals and objectives and it provides a foundation for informed training decisions. Analyzing training needs should not be carried out in isolation. There must be a link to the broader constraints that USAID has identified that hinder the development process in the country .

As only one development agent in a country and with limited resources, USAID must seek improvements in institutional performance to support its development objectives. How do we help institutions improve so that they can have more impact in a desired development area? We begin by looking performance problems at the organization and in target work groups. Then can move to the individual level to examine what knowledge, skills or attitudes are required so that the employees can bring about the changes (and they) desire. In short, this is the approach we take in identifying training needs.

In this sub-guide, we discuss training needs mainly in the context of performance change. Why so much emphasis on performance? We have discovered over the past few years that the way to get results from our training investments is to make sure we link training to improved job performance We cannot afford, with limited staff and resources, to offer training to well-qualified individuals without considering their role in an instituti or their potential to bring about the change USAID and its partners want. Nor can we ignore the skill needs required to make those performance improvements, both in the work unit and with the individuals employed the The graphic above illustrates these three dynamic elements and introduces to the main focus of this sub-guide.

By reading the step-by-step examples and the discussion that follow, you will learn to identify performance gaps and address them, to involve stakeholders in the process, to diagnose the causes for performance

weaknesses, and formulate some training solutions. You will also see how
work with stakeholders to reach a consensus on the kind of training that
will result in the performance changes desired.

Analyze organizational performance

What needs to happen first?

The Strategic Objective and Results Package team (SO/RP team), including
associated partners, need to answer the following questions:

•What are the performance weaknesses your team needs to address at the
partner institution to fix the problem?

•Will training help your team close the performance gap?

•How can we (USAID and its partners) work together to solve the problem?

Is training part of the solution system?

In order to answer this question your team needs to analyze the performan
of the institutions which serve as the delivery system (providers of good
or services) in the sector involved.

Step One

Select Target Organization

One of USAID/Tepal's Intermediate Results (IR) is *in creased exports of
surplus cereals to neighboring countries.* Because the mission has already
collaborated with its partners in determining this SO, it knows something
about the key institutions working with cereals and exports in Tepal. The
SO/RP team members decided to take a close look at the capacity and
performance of one work unit where improvements might be made that could help
them reach the IR. The Division of Agricultural Statistics in the Ministry of
Agriculture collects commodity price information that is published once a year
in a government report. The SO/RP team believes the unreliability of the
price data, its infrequent publication, the inaccessibility of this
information to potential importers in neighboring countries is a constraint to
reaching the IR. Several team members schedule a meeting with the Director of
the Division.

During the development of the mission's Country Strategic Plan and the
subsequent Results Frameworks, you and other team members made assumption
based on your knowledge of institutions (or target groups) active in your
sector, that will affect the kinds of activities you design to help reach
your strategic objectives and intermediate or lower-level results. You ha

already conducted or reviewed sectoral assessments, worked with
stakeholders, talked to the end users of institutional services or produc
and brainstormed with team members about the SOs and IRs. With the wealt
of information and experience of these stakeholder groups to draw from, y
can proceed with confidence toward determining the kinds of activities th
will strengthen the key institutions. ***Organizational needs assessment has
already begun.***

The team should now articulate the assumptions that went into diagnosing
weaknesses in the sector. Then describe the goals of partner institution
in delivering services to the people and institutions in that sector. Be
asking what level of services you can realistically expect these speciali
institutions (or work groups) to perform. For instance, following the
example in the box, can the Division of Agricultural Statistics produce
reliable price data four times a year? Decide whether, and how, such an
improved performance would help your team reach its IR. That is, would
better and more frequent price information make a difference, or would it
simply make donors feel better? Would you not also want to make sure the
price information reached potential importers in neighboring countries?

What have you accomplished thus far? You have listed the critical
assumptions that helped formulate your SO(10) and IRs(11). You then
selected your target institutions or organizational units. You identifie
key constraint in achieving one of the IRs, such as the one in our exampl
poor, infrequent and inaccessible commodity price data. At this point, t
groundwork is established and your needs assessment is off to a good star

Identify performance gaps

Your team cannot design an activity to help improve institutional service
or products in the desired sector without dealing with **performance gaps**.
Remember that we train people not institutions. But, we no longer train
people in isolation from their work places. Employees perform services
which, collectively, constitute the organization's output. What are thos
employees doing every day that produces those goods and services? Why a
they not producing more or better quality output? Our objective is to **bu
institutional capacity by strengthening human resources**. What can we do
help?

We need to:

> 1)   understand in depth the organization's present performanc
> level
>
> 2   decide what needs to be changed that would result in
> reaching our IR
>
> 3)   identify which division, or group of employees, can impr
> their performance to help bring about the desired change
>
> 4)   consider training as a possible solution

> 5)   design training solutions to bring the work performance
> the level needed.

Desired Performance (less) Actual Performance = Performance Gap

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Remember that by "organization" we may mean a variety of work groups, su
as a division within a ministry, or similar divisions (such as "financial
management") found in different institutions, or groups of NGOs working
the same sector. A work group, or organizational unit, must have *measura
outputs* and be recognized as a *coherent unit*. A group of individuals, su
as nurse mid-wives, who may work in a number of public and private
institutions, can constitute a work group for our purposes. The Division
Agricultural Statistics in our example is a coherent unit within the
ministry that produces goods and services that can be measured. On the
contrary, the Prime Minister's Office of Legislative Relations, which has
only a chief and one secretary, may not have *measurable output* in that it
activities are primarily representational and political—with few if any
quantifiable deliverables produced.

We can learn about performance gaps, including training needs, by asking
questions such as:

What does this organization need to do better? (Desired Performance)

What does this organization need to do differently? (Desired Performance

What does this organization need to do that it hasn't done before? (Desir
Performance)

How does the organization currently carry out X? (Actual Performance)

What is its current quality and level of activity? (Actual Performance)

An example of calculating a performance gap follows:

DESIRED PERFORMANCE	ACTUAL PERFORMANCE	THE GAPS
Division of Agricultural Statistics collects and analyses sound commodity price data, and publishes it quarterly in printed and electronic form to subscribers in Tepal and neighboring countries.	Unreliable price data collected and published annually with little analysis in a government publication with limited circulation.	•improve quality of collected •improve analysis of data •publish more freque various forms •identify "users" a widely to neighborin

Indicators of performance gaps

Many indicators alert us that performance gaps may exist and *each performance gap identified is a potential training need.* For instance, technologies, standards and trends often demand that employees change the work practices and behavior. People need to recognize that these new demands mean learning new approaches and skills without which their organization's output will be compromised. Privatization of state-controlled industries has challenged the work forces in many countr and revealed glaring performance gaps that must be filled for liberalized economies to succeed. The global communication revolution requires peopl to learn how to operate (and maintain!) fax machines, computers, and lase printers while they become familiar with finding and publishing informati on the Internet. Training is the most frequently used intervention to br these performance gaps.

Signs of Performance Gaps

New initiatives	New goals
Reengineering	New equipment
New systems	Complaints
Poor work quality	Staff turnover
Staff conflicts	Frequent errors
Unmet deadlines	Low productivity

The box below lists some of the elements that can accentuate performance gaps in any institution. Watch for these signs in an organization and a your contacts how they plan to cope. Don't ask "Will you need training this or that problem?" or "What are your current training needs?" At th point in the needs analysis process, you should not, through these leadi questions, assume that *training* will be the best solution. Instead, let stake-holders try to dissect the organizational problems to supplement y analysis. More information may be needed to clearly define the problem a its causes, to determine if it is worth solving, and finally to propose valuable and appropriate HRD(12) solutions.

The second step, illustrated in the box below, is getting closer to the problem. Time spent "up-front" understanding the performance gaps to be affected by training is a critical investment, and will save you time in long run. *You cannot design an effective training solution unless you k how the organization functions now, where it obtains its resources, what work environment is and where it needs to improve.*

As you become more familiar with the organization, its mandate, principal employees, supervisors and decision-makers, you are, in effect, conducti the bulk of the needs assessment. Map out the employee relationships so know who your clients are. Ask for job descriptions, if they exist, or

the key employees to tell you what they do. Write down the key elements
their present jobs. You are not conducting an in-depth management analys
of the organization, but *you need to grasp the central elements of the wo
unit before seeing whether training may be used to improve things.*

Causes of performance gaps

You are about to identify whether training is needed or not. Once
performance gaps are identified and the performance changes required are
traced to specific work groups or jobs, you will need to understand why
these performance deficits occur. The causes of performance gaps can be
categorized as follows:

Step Two

Get to Know the Target

The USAID/Tepal SO(13) team delegated three team members who were familiar
with the Ministry of Agriculture to begin the process of identifying exactly
what had to be changed. One of the delegates had training design experience,
and another SO member had an advanced degree in Agronomy. The initial meeting
began with the Division chief alone who quickly summoned two supervisors from
sections that deal with data collection and documentation. The USAID
representatives reminded the ministry officials of their agreed-upon SO and
the new IRS that had been completed jointly. They discussed whether
improvements in the reliability and availability of commodity price
information might boost exports to two of the three nearby countries. As
ministry officials described in detail how statistics are gathered, the
conversation quickly led to complaints about how difficult it was to get the
data, given the inexperience of the staff, the use of untrained external data
collectors, and the poor condition of the computers. Finally, the group
considered other factors, such as timing, availability of data, and the
analytical skills of the "clients." The SO team left with a deeper
understanding of the present situation and agreement from the stakeholder of
the link between improving price information and promoting exports.

Internal causes related to KSA.   [*] KSA = Knowledge, Skills and Attitudes[*]   These
performance deficits can be remedied by changing the knowledge,
skills or attitudes of those working **within** the partner organization
Looking at the example in "Step Two" (see box), performance is
hindered by poor understanding or knowledge of data analysis among
the staff at the Ministry of Agriculture. *KSA-based causes can be
remedied through training.*

Internal causes not related to KSA. These deficits will not be affect
by changes in knowledge, skills or atti-tudes. When factors such as
organiza-tional policy, corporate "culture," working conditions, staffing
patterns, salaries and benefits, and tools and equipment stand out as ma
imped-iments to changing institutional performance, enhancing KSA will
probably be insufficient to bring about the desired results. An example

the box above is the "poor condition" of computers in the Ministry of
Agriculture. *Training alone will have no effect on remedying these non-l*
problems. However, since most internal non-KSA related causes are within
control of the organization, these causes should be addressed by the SO
and the partner organization as each results package is shaped.

External causes related to KSA. Every organization or target group us
external inputs to produce its goods and services. The organization may
have external sources for data and information or for raw materials and
supplies. In addition, external factors beyond the organization's contro
may affect the working environment, labor policies or skill supply. Some
external causes of performance gaps are KSA-related, that is, they invol
deficiencies in knowledge, skills or attitudes of people delivering goods
services from outside the organization. Using our previous example, supp
that the Ministry of Agriculture relies on price data collected by grower
associations for selected commodities. If the employees of these
associations have not been trained in accurate sampling techniques, the
reliability of their data is compromised. *If training solutions for the*
external causes are not foreseen, USAID and the partner institution may
close performance gaps and can fall short of the intermediate result soug

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Step Three

Identify Causes of Performance Gaps

USAID/Tepal's SO team came up with a list to explain the causes of the
performance gaps in the Division of Agricultural Statistics. The team felt
that if these causes could be remedied, the resultant performance changes
would contribute directly to "increased exports of surplus cereals to
neighboring countries."

•internal KSA-related causes: *organization's staff needs to improve data*
analysis skills

•internal non-KSA related causes: *organization needs more and better computer*
hardware and
software to perform data analysis

•external KSA-related: *suppliers of data need to im prove sampling methods and*
organization's clients need skills in data interpretation

•external non KSA-related: *government policy changes required to allow*
organization to use commercial printers

When looking for external KSA-related causes, you also need to consider t
users of the institution or target group's goods and services. What do y
know about the intended users of the commodity price data provided by
Tepal's Ministry of Agriculture? If the Ministry improves the quality an
distribution of its price reports, will wheat importers in neigh-boring

countries understand and use them to make market decisions? You may have
made a critical assumption that wheat importers can and will use the data.
Re-examine the assumption. Does it still hold? *Although the end users (the
"client") of your partner institution may have KSA-related deficiencies,
they do not cause the performance gaps you have identified. But these
client deficiencies can affect the outcome of your training solutions. At
minimum, you will want to be aware of these factors so that you can make*
adjustments as needed.

External causes not related to KSA. These causes of performance
deficiencies include constraints beyond the organization's control, such as
the surrounding policy or regulatory environment, the poor quality of raw
materials, supply irregularities, unreliable transportation, costly
communication and prevailing social and economic conditions. In our
USAID/Tepal example, the Ministry of Agriculture may be required to use the
government printing office to print its price information. The backlog and
inefficiencies that plague the state-owned printer makes publishing timely
price reports unlikely. *Determining whether these external factors will
prevent your training solutions from succeeding is a key element for you to
consider. Deciding whether you can change any of these external realities
that are not prone to training solutions, is also a major point to discuss
with stakeholders. In the end, you (and the SO team and partner
institution) will want to agree on the possible effect of the external
environment on your training solutions and decide to what extent you can
influence change in areas where training will not be the principal answer.*

You should not be overwhelmed at the number and complexity of the problems
afflicting your sector, partner institution, organization unit, work group,
or trainees. Every institution has a mixture of the above internal and
external causes that explain its performance gaps. Your task is to be
familiar with the major forces at work, observe what can be improved, and
plan the training intervention. *Work with your partners to map out critical
assumptions about how training "fits" into a larger system of performance
improvements. This will help maintain a focus on the purpose of strategic
training: to bring about organizational performance improvements that will
contribute to the attainment of mutually-agreed upon development results.*
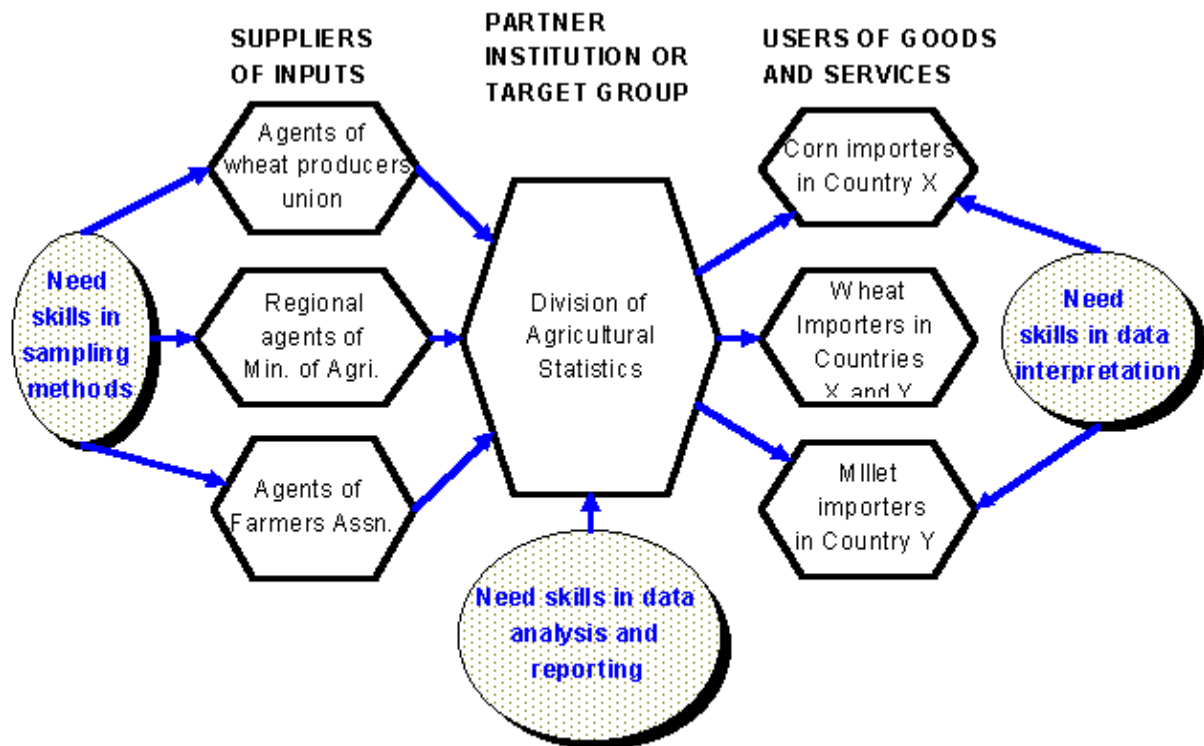
Training solutions required to reach
intermediate results

Analyze work place performance to develop training plans

Now, how close are you to developing training plans? Closer than you th

You have:

•identified institutional performance gaps

•identified the causes of those gaps and

•determined which causes are KSA-related and might therefore be addressed
through training.

You can now identify the individuals or groups of individuals who must
perform better or differently in order to contribute directly to the

institutional changes sought. You should be confident that, should these
performance gaps be bridged, the institution's performance will improve i
ways that will directly impact on USAID's ability to meet at least one o
its intermediate results.

Agree on organizational performance gaps

One way to systematize the process of organizational diagnosis is to
describe the partnering arrangements required and the results anticipate
results for every series of linked (or like) training activities. Each
mission will determine how and when to articulate the training activitie
required (perhaps as part of the Results Package, perhaps in some other
mission-prescribed form). Nevertheless, before seeking an outside
contractor to implement training, the mission and its institutional part
should have a clear understanding of:

Step Four

Develop Solution Systems for Performance Gaps

USAID/Tepal's SO Team in collaboration with its partner and relevant
stakeholders developed a training activity plan, which included a performance
analysis of the Division of Agricultural Statistics. The plan describes the
performance changes required in specific work units. It lays the groundwork
for the development of a series of training actions to improve workplace
performance of two groups: the external agents who supply data to the division
and the division's staff responsible for data analysis and reporting. Since
stakeholders could not expect to train importers in neighboring countries in
data interpretation, they have decided to include basic information on data
interpretation in each publication to improve the readers' ability to use the
data to make market decisions. Now the training activity plan will be used to
contract with a training provider to conduct detailed workplace analysis and
then design and deliver appropriate training programs.

•the organizational performance change(s) sought;

•the causal links between these changes and USAID Intermediate Results;

•possible causes for performance gaps (including causes other than those
related to knowledge, skills, or attitude defi-ciencies);

•whether training will be part of the solu- tion system; and

•a general description of the likely com- ponents of a training program t
close these performance gaps.

Conduct work place analysis

Working with contractors/grantees, the partner institution, subject-matte

experts, and other informants, you now need to analyze the knowledge, ski
and attitudes of employees in the jobs or work groups targeted. You need
determine:

•what the employees (potential trainees) need to know or do;

•what they already know, need reinforced or need to "unlearn;" and

•what *new skills* they need to learn in order to achieve expected results

You, contractors, or others working for you should carry out a brief
workplace analysis for each job category identified during the
organizational performance analysis.

The process of needs assessment you have already learned remains the same

1) identify performance gaps; 2) determine causes of gaps; and 3) select
appropriate solution.

Whether you are conducting performance analyses at the organizational,
workplace or individual level, there are a variety of techniques that you
can rely on to collect the data needed to answer performance-related
questions. Some require direct inquiry of individuals or groups, while ot
techniques rely on the review of existing documentation and data. Whichev
techniques you rely on, it is important to use the resources and knowledg
of the SO/RP team to the fullest extent possible and only rely on
supplemental data collection to seek out critical missing elements. The
SO/RP team should include as partners in this process those who will:

- be required to contribute to the performance changes sought

- implement the "solution system" to bring out the changes sough

- benefit from the results of the performance changes.

Include managers, supervisors, potential training participants, even clie
and customers. Target individuals, groups and existing committees. Look
people intimately familiar with the target organization or work group.
including stakeholders in the process of work place performance analysis
you will build their commitment to whatever training is required.

Describe work place performance gaps

It is important to systematically collect, analyze and agree on work plac
performance needs) for every work unit or job category targeted. In some
cases, when partner institutions are relatively small, well-known and lac
complex internal structures (having few departments and a small number of
job categories), a discussion of work place performance gaps can be
included. In general, however, these tasks can be assigned to a contract
as part of an assignment to design and implement the training activities
required. In either case, the SO/RP team or the contractor needs maintai

focus on critical performance issues while moving from the macro-level of organizational needs assessment to the micro-level of work place performan analysis.

In addition, before the design and implementation of individual training activities begins, you will need to reach agreement with stakeholders on

•work place performance changes sought in terms of increased or new KSA;

•the causal link between workplace changes sought and institutional performance changes sought;

•other (non-KSA related) factors or causes that need to be addresse as part of the training solution proposed;

•a timetable for the development of course-specific implementation plans.

You will find that a brief, but carefully- constructed performance improvement plan will greatly enhance the planning, implementation and monitoring of your training activities. The members of the SO/RP teams responsible for training will be able to focus on the one area where the most results can expected from training: **job performance improvements.**

Step Five

Specify Trainee Performance Improvements Required

USAID/Tepal has contracted with a private firm, ABC Inc. to design and implement the training required. The Scope of Work written by USAID and its partners called for the firm to analyze performance deficiencies prior to designing the training program. ABC Inc. drafted a performance improvement plan for the staff of the Division of Agricultural Statistics. It was determined that after a three-week training program, 90% of the targeted staff would be able to:

1)analyze samples of data to project regional and national price trends (a new skill)

2)develop clear, concise reports on grain commodities within three days after receiving data from the field (improved skills), and

3) evaluate the quality of data received from outside sources by conducting simple controls (a new skill).

Conclusion

We have come full course from knowing only a little about the performance weak-nesses of key institutions in our sector of interest, to understand

in some depth the causes of poor output and how training might provide a
solution. With this knowledge, we can be more certain that the training
eventually designed and delivered will help our SO team reach its
intermediate results. And by involving our partners in the process, we
increase the chances that the KSA acquired by the employees will be used
the workplace. Finally, if the employees perform better in an improved
environment, we can expect to see results.

A Checklist for Needs Analysis

Select Target Organization

Get to Know the Target

Identify Causes of Performance Gaps

Develop Solution Systems for Performance Gaps

Specify Trainee Performance Changes Required

We always need to remember that training in isolation is not a solution.
want to link our valuable training investments to USAID's strategic
objectives and to the needs and results of partner institutions. As much
we would like to train worthy employees of institutions critical to our
sectors of interest, we know that training without identifying the work
place needs is not a solution. We have also learned that there are causes
for performance gaps that are beyond the reach of training, and that
training is not always the remedy for every institutional problem.

Nevertheless, when training *is planned after careful needs analysis*, to
close performance gaps in an institution, organizational unit or work gro
and *is used in concert with other development efforts*, it is often the mo
successful way to get results from investments in human resource
development. When you ensure that targeted, performance-based needs
analysis is the foundation of every training program, you have taken grea
steps in ensuring the return on those training investments.

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Subguide 4:   CONTRIBUTE TO IMPROVEMENTS IN ORGANIZATIONAL PERFORMANCE

Source Information (14)

INTRODUCTION

Contributing to Improvements in Organizational Performance is one in a series of practical manuals for following the HRDA's **Best Practices Guio** a road map to excellence in human capacity development.

This subguide is for USAID staff, partners, and contractors who plan development activities for strategic objective and results package teams allocate resources for training, and monitor performance. This is not a document for training officers alone.

The objective of the subguide is to demonstrate how training resources ca contribute to changes in organizational performance that further achievem of a mission's strategic objectives. It provides answers to the most relevant, commonly asked questions on the subject of organizational impac

What constitutes an organization?

Why focus training on the organization?

What are performance problems?

What makes for the right environment?

What strategies should we follow?

This subguide is closely related to other best practices. While the best practices are not strictly sequential, *Contributing to Improvements in Organizational Performance* provides guidance for activities that begin or a needs assessment has determined that training is an appropriate respons to a development problem.

BACKGROUND

An organization is a work unit accountable for specific outputs

An institution may house one or many internal organizations

What is an organization?

For the purposes of this guide, an *organization* is a formal work structu
involving more than two people and has a measurable output attributed to

You should not think of an organization only as a government ministry or
large company. It could also be a small business, a nonprofit organizatio
a department, or even a single work unit within a division. The customer
service office of a manufacturing firm, the accounting branch of a
university, or the procurement department of a ministry of health are als
considered "organizations" if they are recognizable entities with output:
that contribute to a larger whole.

Strategic objective teams will identify institutions that will serve as
partners. These institutions, or subsets of them, may constitute
organizations that are the focus of discrete training activities. In the
example below, which we will follow throughout the subguide, the Foreign
Trade Office is an organization within a larger institution.

One of the Mission's strategic objectives is to increase export revenues
from traditional products. In its results framework, the SO team identif:
the Ministry of Commerce as a partner institution. An assessment team fou
that within the Ministry, the Foreign Trade Office holds the portfolio fo
export promotion. The Foreign Trade Office comprises twelve employees, of
which seven are professionals, and its director reports to the Minister.

Why should we focus on organizations?

Training creates incremental value for beneficiaries, beginning with
individual trainees. The continuum of training's added value is depicted
the chart below.

Training creates high value, or worth, at the level of the organization

 The chart is based on a well-known model that proposes that training hav
its first impact on the knowledge, skills, and attitudes (KSA) of the
individual trainees. When the trainees apply their acquired learning to
their jobs, the effect of training reaches the workplace, and its value
grows (Brinkerhoff, p. 6). If the workplace improvements in turn enhance
performance of the organization, then the value of training will have
increased commensurately.

We focus on the organization to realize the greatest possible value from

training investment.

Training-for-results signifies measurable changes in performance

For USAID, training is a tool for achieving results. In the past, USAID
evaluated training, like other forms of assistance, by the number of its
activities and outputs. Impact indicators usually focused on the trainee
alone and typically ignored performance measures.

Training-for-results is another matter. When we train for results we expe
changes that help us reach our strategic objectives. These changes, known
intermediate results in a Results Framework, often require changes in
organizational performance. The changes must be observable and measurable

We plan training to contribute to organizational performance because it :
largely through organizations that USAID achieves results.

What are organizational performance problems?

A performance gap is the difference between present results from desired
results

We define an *organizational performance problem* as a gap between what is
actually happening and what should be happening. All organizations, whetl
public or private, can measure performance in terms of productivity,
efficiency, or quality of service. For example, private companies often u
profitability as an indicator of performance. Here, you would analyze the
organizational problem by comparing the actual profits to the desired
profits.

When a USAID planning team targets an organization for training, it is
usually because that organization has a performance problem that is
obstructing the achievement of a strategic objective. When the source of
problem is related to knowledge, skills, and attitudes, training can addr
the problem by closing or diminishing performance gaps. In the example
below, the team has identified the Foreign Trade Office because that its
output does not correspond to expectations.

Training can address performance problems related to the KSA of workers a
managers

In the course of its customer service planning, the SO team discovered tl
one obstacle to greater exporting is lack of timely, analyzed information
for exporters. The Foreign Trade Office is expected to provide this
information. Assessments show that the Office's problem is one of
inadequately trained, but otherwise competent, personnel; it is not one o
equipment or other resources.

The Foreign Trade Office has a performance gap that they can address thro
training. The training will have performance objectives at the levels of
individuals (trainees), jobs, and the organization. To achieve the
objectives, the right environment must exist.

What is meant by "the right environment?"

Right environment nurtures training's worth to the organization

In our context, *right environment* means working conditions that allow peo
to apply the knowledge, skills, or attitudes acquired through training.
"right environment" allows the value of training to grow. You should not
underestimate the importance of the right work environment for your
trainees. Where training provides the learning experience, the formula fo
success has been represented thus:

    Learning Experience X Work Environment = Results

The formula is expressed as multiplication rather than addition to make t
point that in the absence of a right work environment, the results for th
organization would be zero (Robinson, p. 11).

Capital, equipment, and personnel, for example, affect the work environme

Two types of factors affect the organizational work environment: physica
and human. When we address the question of right environment for trainee
returning to the workplace, we must know whether training is a sufficien
response to a performance problem. A sufficient response is one that wil
effectively address the performance problem with no other inputs. If the
Foreign Trade Office were not adequately equipped with computers, softwa
and printers, for example, training would be necessary but insufficient t
close the performance gap. Physical factors would impose limitations. If
Office were lacking in adequately educated staff, training of existing
personnel would still fail to close the performance gap. There would
continue to be human limitations.

Even, however, when training is a sufficient response to a performance
problem, the right environment will depend upon the organization's
receptivity to the training program. As our continuing example shows, the
attitudes and expectations of supervisors, managers, and colleagues are
determining factors in creating receptivity.

All staff of the Foreign Trade Office report to the Director. They have not been encouraged to work as a team, and they view training as an individual opportunity. The Director can influence the way in which her staff perceives the training, but she reports to the Minister, whose position on the program is still unknown. Only the Minister can approve the program.

Collaboration prepares the right environment

To ensure that training contributes to organizational performance, you
should work strategically with the partner organization. The remainder o
this subguide discusses the elements of a strategy. Our focus is on
approaching the organization. Other subguides discuss ongoing collaborati
as well as designing, implementing, and monitoring training that will
contribute to improvements in organizational performance. Please remember

working effectively with organizations is often very simple. For experien
training managers, many of the steps and procedures set forth below are
part-and-parcel of your standard operating procedures.

STRATEGIES

The chart below shows the flow of events that should occur to optimize
training's contribution to an organization's performance:

Let's see what we mean by this chart.

How do we identify the internal stakeholders?

You should look for the people inside the partner organization who stand
gain or lose directly from the training program. You should meet with the
formally or casually, to discuss their feelings about the proposed train:
Find out if anyone is threatened by or disgruntled with the idea. Learn :
the internal stakeholders what they perceive to be the needs of their
organization.

One member of the SO team knew some professional staff of the Foreign Tr
Office. He visited with them individually at work and outside of work to
discuss the training and the Office's needs. He also made an appointment
speak with the Director. He learned that, although the Minister was
interested in the training, there was unlikely to be anyone outside of t
Office who would directly benefit from the training. No one seemed
threatened, although some skepticism was expressed.

How do we identify our client?

Having identified stakeholders, you must find out who is the client for
program within the partner organization or the encompassing institution.
define *the client* as a person or group of persons who must meet both of t
following criteria (Robinson, p. 39):

The client can stop the training program or have it extended

The client must have organizational authority to decide on implementing t
training activity. If displeased, this person can stop the project.

The client must have a need to be involved in and make decisions regardin
the strategic implementation of the project.

The client is the partner's representative, its warrantor of success

In larger organizations, the client may be one or two levels above the
trainees' direct supervisors. If the client is not readily obvious, you :
to ask some questions: "Who will really decide to go ahead with this

training?" and "Who should be involved in decisions regarding the traini
to ensure its success?" and "If something goes wrong, who can correct the
situation quickly?" This sort of inquiry will lead you to the right perso

After meeting with some internal stakeholders in the training, the SO tea
learned that the Director of the Foreign Trade Office would only approve
training if the Minister himself gave his approval. Furthermore, if thing
were not working out well, the Director would probably not be able to tal
corrective action. If the Minister were interested, however, he would mal
sure that problems were addressed. The SO team asked the Director to arra
a meeting with the Minister, which they would attend together.

Identifying a client may take a few moments of reflection or it may demar
some investigation. However difficult, it is worth your time. As the
partner's representative, the client will give the warranty of success to
the collaborative effort.

The absence of a true client is a warning signal

Not every training program has a true client. The absence of a client,
however, may signify that there is not sufficient support or accountabil:
for training results. High impact training—training crafted to produce
results—does not thrive in the absence of a clear client and you should
review it for its potential effectiveness.

You must establish a collaborative relationship with the client. Without
collaboration, the training is often inefficient and usually ineffective
Collaboration is discussed in greater detail in the subguide *Collaborate*
with Stakeholders.

Organizations have their own needs and goals

What should we know about the partner organization's needs?

Your partner's *organizational needs* correspond to the intermediate resul
that USAID is seeking. While SO teams should help partner organizations
understand USAID's strategic objectives, it is equally important that the
team understand a partner organization's needs. Arriving at such a mutual
understanding is part of the consultative process that USAID emphasizes :
all phases of activity planning, implementation, and monitoring. Let's
return to our example.

During their meeting with the Minister, the SO team explained that USAID
a strategic objective of boosting the country's export revenue, and that
necessary intermediate result is greater access to useful market informat
for exporters. The Minister praised the work of the Director of Foreign
Trade and said that, traditionally, much of the ministry's work has been
reactive and regulatory. In the spirit of modernization, the ministry sho
become both proactive and collaborative with the private sector. The
proposed training could provide the means for the Foreign Trade Office to
take the lead within the ministry in modernizing its mandate.

Training works best when tied to organizational needs

The Minister has expressed an unequivocal organizational need and
understands how training could help. This is a moment of opportunity. Wh
USAID's objectives may be of interest to him, what is important to him a
his own objectives. Every good manager must understand this basic human
principle and seek to know the client's felt needs. In our example, the
organization's objective is consistent with USAID's objective, or
intermediate result.

In planning training for organizational performance, you must understand
organization's own needs and show how the training will help satisfy ther
"Where there is a clear and shared vision that links training to business
goals, training is likely to be effective" (Robinson, p. 79).

Having met with stakeholders, identified and talked with the client, you
have succeeded in linking the training to organizational needs and
objectives. During these meetings, you will have had opportunities to
discuss current and expected organizational performance.

How do we establish performance indicators, baselines, and targets?

An indicator is a characteristic used to measure intended change

An *indicator* is a measurement concept that allows you to track changes i
performance. In training, an indicator should be expressed in terms of hu
performance. The key question in establishing an indicator is "What do
individuals—employees and managers—need to do differently to bring about
desired changes?"

Discussions with stakeholders and the Minister showed that the Foreign T
Office was providing unanalyzed and obsolete information about twice a ye
to exporters. They agreed that with the appropriate training, they could
provide relevant market and product data at least once a month in a forma
useful to exporters. The information would be no more than one week old k
the time they distributed it.

Baseline is the performance before training

A target is the performance you expect after training

In the example, the employees need to improve the quality and timeliness
the information they give to exporters. "Quality and timing of informatic
are, therefore, the performance indicators. You should work with your
partner to refine indicators so that they are objective, direct, and val:
With refined indicators, you can establish a baseline and set targets tha
allow you to monitor progress.

The *baseline* describes—in terms of the selected indicator—the performance
level before training begins. The raw baseline in the example is
"unanalyzed, obsolete data provided only twice per year." Depending on tl

complexity of the subject matter, it may be unnecessary to establish
baseline data any more specific than that.

The performance *target* represents the desired level of performance, or the
intended result of training. In the example, the Foreign Trade Office may
want to have performance targets such as "information produced in a
customer-approved format," or "information distributed once a quarter."

We have only discussed indicators, baseline, and targets at the level of
organizational performance. Individual performance indicators should figure
into the training design.

Now that you have met with stakeholders, identified the client, and
established at least rudimentary indicators, baseline, and targets, it is
time to confirm the understanding among all stakeholders through a project
meeting.

How do we hold a project meeting?

A project meeting confirms expectations and secures collaboration

You meetings with stakeholders and clients have varied from the casual to
the formal, and they have been largely informative. Now you will gather in
one room the client, trainees, their managers, and the customer, as well as
one or more members of the SO team. The purpose of the meeting will be to
prepare the ground for a formal training agreement. You will want to:

Confirm mutual understanding of USAID and the partner's objectives

Gain agreement about performance indicators, baseline, and targets

Ensure collaboration for right environment

Determine a schedule of events and responsibilities

At the end of the meeting, you should summarize the agreements reached. Then
you should document the agreements and key stakeholders should sign-off.
(For a checklist for a training partnership agreement, see the subguide
Collaborate with Stakeholders.)

The SO team held a meeting in the conference room of the Ministry of
Commerce. Attending were the Director of Foreign Trade, three of her staff,
a representative of the Exporters' Association, and two members of the SO
team. The SO team member responsible for the program described briefly the
Mission's interest in the activity and how this interest aligned with the
Ministry's goal of modernization. He then described the current performance
and the expectations of the training. A general discussion followed about
various responsibilities, and a start-up date for the training was proposed.

If the meeting has succeeded, the Ministry will now feel ownership of the
program. A *Training Partnership Agreement* will signal that it is time to
design a training program that serves the interest of all the stakeholders.

Early successes deepen collaboration

What can we do after the training has begun?

Look for a success from the training to encourage trainees and the client
Depending on the length and scope of the training itself, a success may not
be possible until completion of the program. Remember the value continuum
training has an impact on the individual, the job, and the organization.
should report successes, or positive impact, at any of these levels.

The training for the Foreign Trade Office included all professional staff
and the Director. The training lasted two weeks. After one week, most
individuals could demonstrate new skills in data analysis and presentation.
Three weeks after return to their posts, every trainee was applying the
skills learned. After six weeks, the Office sent out to exporters trade
that were timely and analyzed. A feedback form accompanied the mailing.

Jointly monitor progress and report on performance

In our example, we find three successes, each of which could be the object
of attention in a talk, report, memorandum, or news clip. Nothing succeeds
like success.

The second thing you may do to enhance training's contribution to
organizational performance is to jointly monitor the training. Finding a
success is part of this collaborative process. You should monitor changes
the performance of trainees and the organization. *Report on performance
changes,* not only numbers of trainees or level of satisfaction. You should
regularly inform all the stakeholders of progress, highlighting improvements
in organizational performance.

SUMMARY

Best practices: a road map to success in training

This subguide has focused on ways to ensure that training contributes to
improved performance of organizations in areas of strategic interest to
USAID. Through occasional review of this and the other best practices in
HRDA guides, you will help make training a powerful tool.

The checklist on the following page is a summary of the action points
discussed in this document. It should serve as a convenient reminder of
things to do and to consider when planning training to ensure high impact
organizational performance.

CHECKLIST

Ascertain that you are working with a legitimate organization and identif
the mandate of the organization.

Understand the organizational performance problem related to the mission
strategic objective.

Meet, formally and casually, with internal stakeholders to understand the
concerns.

Identify and meet with the client or client group to understand their
organizational needs and objectives and to determine the fit of the train
in that context.

Establish performance indicators, then determine the performance baseline
and set targets.

Meet with all stakeholders to confirm mutual understandings and jointly s
a formal training agreement.

Look for an early success.

Monitor progress collaboratively and report on performance improvements.

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Subguide 8:   PROVIDE FOLLOW-ON SUPPORT TO TRAINEES AND PARTNER INSTITUTIONS

Source Information (15)

Introduction

Provide Follow-on Support to Trainees and Partner Institutions is one in
series of subguides which amplify steps from HRDA's ***Best Practices Guide***
the strategic management of training. Adopting best practices in the
everyday planning, design, management and monitoring of training will
increase the results we are looking for from our training investments and
contribute to achieving USAID mission-level strategic objectives.

I don't understand why our returned trainees have not been able to make
changes we and our partners wanted for our team's target organizations.
one year later, there are only minimal performance changes to report.

Many readers can identify with the observation cited above. Some people
estimate that USAID spends upwards of $300 million on training each year
without counting partner and trainee contributions, yet fails to devote
enough time or money to leveraging this investment. What can USAID train
professionals and SO team members do to improve our post training support

This guide provides advice on designing and promoting *follow-on activitie*
to increase your chances of getting the organizational performance change
you need. Previous attempts by USAID to encourage, or even force, mission
to undertake follow-on programs have been disappointing. Missions need
practical help, not in how to set up an alumni association which may or m
not be appropriate, but in how to undertake a few activities that can
dramatically increase the chances of getting results from training.

Post-training neglect is one of the major weaknesses in the way we manage
the training cycle. It is a significant barrier to reaching—and
recognizing—performance changes at the organizational work places our SO
teams have targeted. Even worse, without attention to follow-on, we miss
opportunities to influence change *beyond the trainee's work place yet wi*
USAID's strategic interests. In short, we need to take a fresh look at
follow-on, and how to realistically include these activities in our
management responsibilities.

First, let's agree that strategic training cannot succeed without
instituting the Best Practices described in these subguides. Implementi
the right follow-on activities will greatly increase the likelihood of
training success. We must find time, and resources, to invest in follow-
if we expect to get results from training. It is no longer feasible to
for an audit or evaluation to discover that a targeted follow-on
intervention might have ensured that training sparked the performance
changes we sought in the organizations selected for assistance.

What can Follow-On Do?

1. Essential Follow-on Support is used to accomplish workplace performanc changes such as:

•the transfer of new knowledge, skills and attitudes (KSA) to the workpla

•effective leadership that leads to instituting change

2. Supplementary Follow-on Support is used to maximize training results s as:

•the involvement of returned trainees in activities promoted by SO or RP teams

•the application of new KSA beyond the workplace in support of USAID or mission objectives

Second, as we design and implement follow-on activities, we must remember that when we maintain relations with former trainees we are also interact with USAIDs partners and customers. Perhaps we should not refer to these partners and customers as "former" trainees: don't we expect them to continue learning while applying their new skills and attitudes to their work place? Trainees who apply new skills and knowledge can become **catalysts for change** and can help USAID keep in contact with other custom and partners. Follow-on can also be a path through which SO teams stay abreast of institutional developments in target sectors and gather information to use for Results Packages and, of course, for planning futu training interventions.

We can break down follow-on activities into these familiar categories:

•**training** (such as supplementary training, in-country workshops, or attendance at conferences), for both the trainees and perhaps supervisors well;

•**technical assistance** from host country experts or expatriate consultant (such as arranging for a mentor or specialist to assist trainees at an institution, perhaps with on-the-job coaching or periodic work place performance assessments); and

•**commodity support** (such as the purchase of publications, computer softwa on- line Internet access, etc.).

When can you determine the types of follow-on activities to implement? Sometimes solutions appear early-on in the training design stage; in othe cases you may not know how to help trainees until they return and deal wi the transfer of their newly-acquired skills. In some cases, activity managers may identify a follow-on activity at the last minute in order to save a training investment from impending failure (see box for an example

Whatever the case, follow-on programming is best designed and implemented close

The Last Minute Follow-On Rescue:

What NOT to do

In the early 1980s the USAID mission in Tepal launched a huge participant
training program designed to provide graduate degrees to roughly 700 of t
"best and brightest" from Tepal universities. It was assumed that the
returned participants would find jobs upon their return home. As the
trainees completed their degrees in the sciences, many chose not to retu
home to face unemployment. There were no follow-on activities designed to
help trainees network with potential employers, including government, or
build job search skills. When the non-return rate exceeded 60% and the
auditors arrived on the scene in the late 1980s, USAID funded a small
project office in Tepal to sensitize employers to the value of U.S. degre
welcome home the graduates with re-adjustment workshops, job search skil
and a place to share leads. The office itself was staffed largely by
returned trainees. Within a short time, the return rate improved and
increasing numbers of Tepalese became employed. But many had lost hope a
disappeared into the U.S. high-employment landscape. Although the projec
had other implementation problems, lack of follow-on was its major weakne

association with the key stakeholders: the trainees and their supervisor
and colleagues at partner institutions. If you developed a training
partnership agreement (see subguide #2), you are already on your way towa
clarifying the roles and responsibilities of stakeholders in conducting
follow-on activities.

Knowing that mission training specialists and SO team members are already
stretched, we will not propose complicated follow-on activities in this
subguide. Each action, however, must be tailored to the context in which
the trainees operate and must be planned for clear results.

In this subguide, we divide follow-on investments in two groups: essentia
follow-on support and supplementary follow-on support.

Essential Follow-on Support: Applying What was Learned

Essential Follow-on Support consists of USAID-sponsored interventions tha
support the application of Knowledge, Skills and Attitudes (KSA) once
trainees return to the workplace.

The first step in designing these programs to is to find out what your
trainees need to put new KSA into practice, a sort of mini-assessment tha
should happen during training design:

•Does the partner institution (the trainees' workplace) present obstacles
the application of KSAs that USAID could help alleviate?

• Will trainees have the tools and materials they need to practice new
skills?

•Will trainees be isolated from opportunities to better understand new

concepts, such as meetings of professional groups, or from risk-free opportunities to practice skills with fellow trainees or colleagues?

Facilitating the transfer of training

The design of pre-training and follow-on activities should be an integral part of overall training design. Each component should fit together to ensure that training does what it is intended to do: contribute to the attainment of intermediate results.

Preparations for Follow-on Begin Early

Pre-training support from the partner institution will also enhance the transfer of training. Pre-training strategies include:

•reaching agreement on the need for workplace improvements

•involving supervisors and trainees in performance analysis

•reviewing course content with supervisors and trainees

•offering incentives to employees who improve performance

•training managers in supervisory and coaching skills

Ref: Broad, 1992

In the box are examples of pre-training strategies that can support the **transfer of training** to the work place by trainees. Consider them when you look for ways to help trainees improve their workplace performance. You to identify both *motivators* and *obstacles* to performance improvements. initial design of follow-on programs will be based on what can help or hinder the application of KSA in each workplace.

For example, during the identification of training needs in partner institutions and the relevant work units, the SO or RP team determined training was but one input needed to produce the performance improvements required. As part of an institutional performance analysis, team members might have asked supervisors at the target organizational unit this question: "If USAID arranged to trained your staff in X, would that be enough to allow them to make changes in the way they do Y?" Let's assume that the SO/RP team found that policy changes were also required within organization, or that trainees needed new tools to improve their job performance. The team should then plan follow-on interventions to allevia those non-training constraints that were identified (see subguide #3 for more on the identification of causes of performance gaps). In this way returned trainees will be able to apply newly-acquired skills and the transfer of training will occur.

When the formal training program is complete, you may have to modify you original follow-on strategy. Monitoring of trainee learning may indicate need for additional course work or practice or monitoring trainees' application of new KSA may show that on-the-job coaching is required. Remember that monitoring and follow-on go hand-in-hand. The information

produced by monitoring the results of your team's investments in human resources will give you rich clues as to whether your original follow-on design needs revision.

What kind of activity would you design to improve an organization's enabl[...] environment for newly trained staff?

• **Show senior managers the potential returns from the application of new skills.** Ensure that managers "own" the need for performance change in their units. They must be convinced that the new KSA training will prov[...] directly benefits their work place. Help managers understand that trainee[...] need to have opportunities to practice new skills and have receptive supervisors and colleagues.

• **List the improvements needed in the "enabling environment" and propose solutions**. The table below provides an example.

Organizational Problem	Solution
The Board of Trustees of a university, under pressure to introduce budgetary reforms, has mandated a new results-oriented accounting system.	USAID and other donors have agreed to support the University in this undertaking. A series of exploratory meetings have been held to identify where change is required. Accountants will play a key role in developing the reform program and will need new skills to implement the new system.

Problems in Workplace Enabling Environment	Solution
The Head of Personnel raises concerns because he thinks the accountants want training so that they can travel and collect per diem.	Senior managers throughout the university will be made aware of the problems pushing these changes and will be consulted for input into the reform.
Accounting department supervisors have not had any training themselves lately and	Ensure that these supervisors are included in information and planning discussions

feel threatened: they think that advanced skills will make the accountants more likely to receive promotions.

about the new system. They will work with training providers to define the new skills needed for their staffs and for themselves.

The accounting department cannot process monthly payroll and vendor payments with its staff away on training for two weeks.

The training provider works with the trainees and their supervisors to develop a training schedule that will accommodate workload requirements.

You can also design follow-on programs to compensate for one of the shortcomings of even the best classroom training: little opportunity for trainees to practice in a setting similar to the work unit.

Add-on practical training in situations similar to the trainees workplace or, if possible, in their actual workplace can enormously increase the value of classroom training.

How would you provide trainees with opportunities to practice what they have learned?

• **Supervised practice sessions with qualified staff** can be arranged after work or on weekends to allow trainees to practice in a risk-free environment where they will not be afraid to make mistakes.

Involve Managers In Training Transfer

A performance analysis of 15 district health clinics in Tepal identified a number of staff behaviors that would improve standards of clinic hygiene. Although clinic managers showed an understanding of the need for high standards of hygiene, they rarely took the time to demonstrate sanitary practices to their staff.

Three representatives from each district participated in a series of five half-day programs in sanitary practices. Clinic managers attended a two-hour session in which they were asked to seek out opportunities to model the targeted behaviors themselves and to provide verbal encouragement each time another staff member performed the desired behaviors.

Six months after the training was completed, performance monitoring showed that trainees as well as all other clinic staff consistently practiced sanitary behaviors. In fact, hygienic conditions in every clinic had dramatically improved.

Sometimes trainees feel that their new skills are not valued because their supervisors lack the same skills or don't care whether the new skills are

practiced.

How would you ensure that trainees are motivated enough to practice what they have learned?

•Encourage managers and super- visors to systematically **monitor training transfer.**

For additional strategies to improve the transfer of training, consult Br and Nostrum's *Transfer of Training: Action Packed Strategies to ensure Hi Payoff from Training Investments* (Addison Wesley, 1992). Broad's work provides a detailed description of strategies for post-training actions l the trainer, the trainee, and the workplace supervisor that can increase likelihood of training transfer.

Spreading the results of training

If trainees are successful in applying their new knowledge and skills in workplace, their success can create conditions for other performance improvements in the same workplace, in the organization, or even in the community. Recognizing and promoting leadership should not be limited to trainees. Since stakeholders—such as workplace supervisors or colleagues—play such an important role by enabling trainees to use their skills, their contributions should also be valued. By recognizing organizations, supervisors and trainees whose actions add value to produ and services extends the benefits to the wider community and other organizations. The multiplier effect of change can even lead to encourage partner organizations improving performance in areas other than those targeted in USAID's Results Package.

Publicizing training successes

The mission, or its institutional contractors, can spread the word about performance changes achieved through training in the following ways:

•

Use Success To Promote Change

USAID/Tepal sought to increase Tepal's export of value-added agricultura products. Major investments in training and technical assistance to both producers and the exporters of these products, along with a successful program of policy reforms had very good short-term results. In order to further leverage these investments, the mission planned a series of news conferences, newsletters and radio interviews to tell the stories of fir that recorded 500% increases in exports of fruit juices, dried spices, an wood products over a three-year period.

As a result of this media campaign, Tepal's Export Promotion Board report
a doubling of the number of requests it received for information and
technical advisory services.

Award ceremonies can be organized by USAID, a contractor, the Embassy, US
or even an NGO or local professional association. Use these ceremonies
present certificates of achievement, honor a "manager or trainee of the
year," obtain press coverage of an event or highlight results ob-trained
from training investments over the last year.

•**Newsletters and press releases** can feature examples of per-formance
improvements resulting from application of KSA at the work place.

•**Special training sessions** can provide leadership, management or other
skills for trainees, their managers and colleagues.

•**Mentoring programs** can be established between alumni of U.S. institution
and newly selected candidates for long-term U.S. training. These are an
especially effective way to prepare candidates for long-term programs whi
helping them establish relationships with individuals and institutions in
country that can extend through training to the post-training period.

Supplemental Follow-on Support: Maximizing Results

Supplemental follow-on support consists of investments that do not direct
contribute to the transfer of skills in the workplace by USAID-funded
trainees and are therefore not linked directly to the accomplishment of a
intermediate result. Nonetheless, supplemental follow-on investments can
used to enhance the Mission's capacity for strategic planning and help it
design, implement and monitor **all** of its development assistance. These
investments can be a wise use of resources if the mission or an SO team
wants to establish links to a wide range of organizations and individual

In general, supplementary follow-on programs allow missions to increase t
impact from past training investments. Past investments include U.S.-bas
fellowship programs as well as project-related U.S. and third country
training in sectors such as family planning, basic education, HIV
prevention, and applied agricultural research. They also include training
in-country to develop the skills of entrepreneurs, primary school teacher
and health clinic personnel.

Trainees Provide A Window On Development Issues

USAID/Abustan has a long history of participant training. Through a targe
review of returnees, the Mission identified 50 Abustanis, who U.S. gradua
programs and are providing goods or services relevant to USAID's strategy
As part of the process of developing its next Country Strategic Plan, the
Mission decided to invite these 50 returnees to a participate in focus gr
discussions. These trainees, who were able to participate in USAID's

discussions without translators, provided Mission staff with an opportuni
to exchange ideas about successes, opportunities and challenges in the ar
of health, education and natural resource management. In addition, the
focus group discussions also provided interesting debates about the growt
of democratic institutions and the changing roles of women.

As a result of these discussions, USAID staff found that they 1) learned
more about the dynamics and diversity of organizations operating in a giv
sector and 2) identified many individuals that they would like to call on
for advisory or technical services in the future.

By looking for creative and cost-effective ways to maximize the results o
prior training investments, SO teams may find that they have a wealth of
contacts, resources, and skills at their fingertips. They also may find t
USAID's returned participants and former trainees are more than willing t
partner with USAID in its development efforts. This wealth of resources
been largely neglected by USAID, in part because expatriate staff with
technical or sectoral responsibilities are unaware of earlier training
efforts.

Involving trainees in the activities of SO and RP teams

Look for ways to enlist USAID-trained specialists in the strategic planni
design and implementation of Results Packages. By using information
currently available on trainee whereabouts or through a special search, t
Mission can:

•Print an easy-to-consult list of returned trainees organized by
professional field, employer, training subject and year to keep posted as
reminder to contact these people for USAID or contractor activities

•Include returnees in focus and discussion groups during mission strategi
planning with stakeholders

•Organize fora and briefings by returnees in fields related to the Missio
strategic objectives

•Seek out returnees in partnering institutions, grantee institutions, and
NGOs to include them in assessment exercises, training needs assessments
and as resource persons

•Make a database on returnee and trainee qualifications available to
contractors and grantees who are looking for host country specialists and
consultants

•Visit with returned trainees when at partner institutions or in the fiel

Applying KSA beyond the workplace in support of mission or Agency SOs

U.S. Alumni Promote Civic Education

USAID/Tepal, in partner ship with the Tepal Ministry of Secondary Educati
developed a program to increase student awareness of the constitution and
principles of human rights. The U.S. contractor responsible for
implementing this program attended several PTA meetings in the capital c:
He found that the parents most outspoken and interested in assisting with
the program were graduates of U.S. universities. He took advantage of th
interest and contracted with five such parents to work with a curriculum
developer to design the secondary school program in civic education.

The education program, now in its second year, is being used as a model :
programs in neighboring countries.

Another way to leverage results from past training is to increase the
number of organizations and individuals that benefit from newly-applied I
or from the resulting performance changes. SO Teams can challenge and as:
participants and trainees to share their knowledge and expertise beyond t
workplace. Consider calling on those who were trained five years ago to
coaching new trainees or managers in target organizations. If an SO tear
wants to be even more proactive, it might:

•Identify non-profit or community organizations where returnees hold
positions of leadership and encourage them to apply for grants or other
funds or including them on advisory panels. Or establish a grant progran
help USAID-trained leaders carry out activities to further the developme
objectives of the organizations they are already committed to.

•Support alumni associations or returned participant groups that have
organizational objectives congruent with Agency or mission SOs. The Miss:
may want to encourage returned trainees to organize themselves into
professional groups or alumni associations. Such associations can produ
results such as networking for professional development, sharing KSA wi1
wider audience, and putting skills to practice to effect changes outside
workplace. USAID has learned that the inspiration and motivation for
developing these groups must come from the trainees, not from USAID or it
contractors.

Efficient and Cost-effective Follow-on: Getting it Done

Suppose that you have decided on the training activities required in a
Results Package. You have determined that each training intervention sho
be tailored to the needs of the target work unit and that each one will I
special requirements for pre- and post-training components. How will you
the services you need to implement these follow-on components?

In general, managing follow-on is no different from arranging technical
assistance or purchasing training delivery services. The SO/RP team will
have to examine the contracting and grant mechanisms available. Because c
dwindling staff resources, the Mission should limit its own involvement :

the implementation of follow-on. Follow-on programming can be best
accomplished by those who are closest to the partner organization or thos
who have been intimately involved in the design and implementation of the
pre-training and training components.

If you invest resources in **essential follow-on support** (to ensure the
transfer of training), each follow-on program, and the training intervent
it is part of, will be judged by whether trainees actually applied KSA in
the workplace and contributed to organizational performance change.
Contractors and grantees will therefore need to be made responsible and
accountable for the results obtained from follow-on.

In writing statements of work or grant agreements, SO teams should includ
language to ensure that all elements of Best Practices and implemented.
Service providers should always describe the types of follow-on programmi
they will organize and the ways they will work with partner organizatio
in the design and implementation of all components of a training program
They should also be asked link each follow-on activity with a specific
training objective.

When considering **supplementary follow-on support**, a purpose statement sho
be developed for each investment so that SO Teams know the value added to
planning and implementing USAID's development objectives.

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Subguide 9:   MONITOR TRAINING FOR RESULTS

Source Information (16)

Introduction

Monitor Training for Results is one in a series of practical subguides f following the HRDA's ***Best Practices Guide***. The objective of the series is support achievement of strategic objectives through results-oriented training. The other subguides explore ways to plan and manage training mc strategically. The focus of this subguide is ***monitoring the results*** of performance-based training.

Planning, managing, and monitoring are—or should be—related processes. Yc should use monitoring information, for example, to improve planning and management. When you integrate the three processes, you increase the likelihood of achieving results and contributing to USAID and the partner organization's strategic objectives.

This subguide will not make you an expert at monitoring. It will, however make you aware of the basic issues in developing a plan for monitoring th results of training. Each Strategic Objective or Results Package Team (SO/RP Team) will need to incorporate its plan for monitoring training results into its overall performance monitoring plan, which is mandated I Agency policy. The subguide will provide you with:

      a simple model for monitoring the results of training and

      guidance in applying the model.

In addition, the Annex, ***Developing a Performance Monitoring Plan,*** outline steps for developing a *generic* performance monitoring plan which may prov useful to your team. Each SO/RP team is required to include monitoring plans for all of the outputs, such as training, which are required to ma the overall performance changes required to reach intermediate results ar strategic objectives. Again, this may not make you an expert at developi a complete performance monitoring plan (PMP), but it will prepare you to participate on a design team or contract for the services of a team. The annex highlights the main steps that you or your contractor should take : developing a PMP that is responsive to the information needs of its clier

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Monitor Training for Results

The HRDA Project's Best Practices Series brings good news about monitori the results of training: it can and should be a simple, transparent, and affordable process. If you have always thought of monitoring as a burden task involving statistics and complex methodologies, you will appreciate approach offered in this subguide. The approach is the result of extensiv research into evaluation methodologies used by USAID and models which hav proved successful in leading U.S. corporations. Core personnel of the HRI Project have tested a methodology in the field and found it productive o: useable information, adaptable, and easily understood by persons with no specialized background in research methods. In this subguide we discuss monitoring the results, or the effects, of training. There are good reasc to monitor the objectives and planning of training, as well as the

management and logistics of training programs, but these are not our
concerns in the present discussion. We are tracking impact, what happens
after training has begun.


The Four-level Model

The basis of our approach is widely known in the training field as the
Kirkpatrick model, after its author. It proposes that the effects of
training can be evaluated at four, and only four, levels. This means that
deal with only four basic questions, and they

lead us to information about the value of training to its intended
beneficiaries. The questions are:

1. *Satisfaction*:   Were trainees satisfied with the quality of their
                       training?

2. *Learning:*   Did trainees learn, or acquire, the knowledge, skil
                       or attitudes the training was intended to convey?

3. *Application:*   If they learned, did the trainees apply to their jo
                       or at their work place, their new knowledge, skills
                       or attitudes?

4. *Organizational*   If KSA were applied, did that make a measurable
                       difference to the

   Performance   performance of the organization concerned?

In adapting the original model to the practice of training in development
assistance, we have altered some of the terminology but not the concepts

The graphic below depicts the four-level model as adapted to our purposes
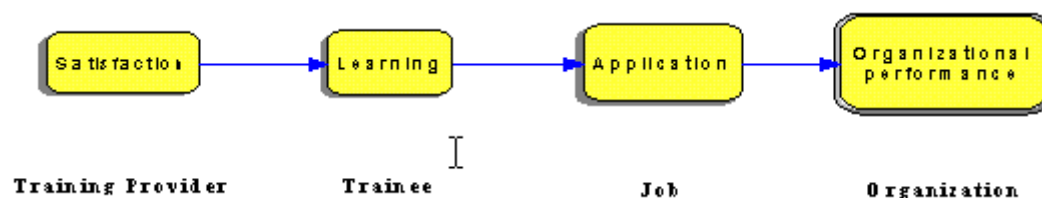
Let's look at what each level means for monitoring.

Level 1: Satisfaction

By satisfaction we mean the trainee's reaction to his or her instruction
Just as we ask our children what they think of their classrooms, teachers
and materials in a new school, so we should ask trainees questions that
allow us to assess the overall learning environment established by the
training provider. We do not simply want to know, "Were you satisfied?" l

want to know the trainee's estimation of the professionalism of the
trainers, the quality of materials used, the pace of instruction, and so
forth. Monitoring at level 1 means assessing the quality of the learning
environment.

Level 2: Learning

The function of training is the transfer of learning. Trainees can acqui
new knowledge, skills, and attitudes (KSA). We monitor learning, or the
acquisition of KSA, to ensure that the training is working as an
instructional medium. We can monitor learning with written tests, through
demonstration of skills, through oral presentations, and possibly other
means. Good trainers continually monitor learning during the course of
training. What is not learned cannot be applied, so it is important that
know if the learning has occurred. Monitoring learning can give valuable
information about the trainers, the presentation methods, and about
individual trainees.

Level 3: Application

If the function of training is to transfer KSA, the purpose of training :
to change behavior. *All training aims at changing actual or potential
behavior.* In strategic, or results-oriented training, changing behavior
usually means performing a job better or differently. If an operating un:
funds management training for personnel from a partner institution, it
expects the trainees to apply their acquired skills on the job. It is the
application of new skills that leads in the direction of results. When a
person has demonstrated learning through training but has failed to make
that learning translate into a work-place reality, the purpose of strateg
training is cut off before it can take root. Monitoring the application o
learning provides information about trainees and their organizations.

Level 4: Organizational performance

USAID normally seeks to achieve results through the performance of local
institutions. Results frameworks identify—sometimes implicitly—performanc
gaps in these organizations Various development interventions such as
training, technical assistance, and commodity procurement are meant to c:
or diminish the gaps. When training alone has led to improvements in job
outputs that in turn cause gains in organizational performance, we can
reasonably *attribute* the performance gains to training. When other
interventions have also been applied, we can say that training *contribute*
to organizational performance improvement. Monitoring organizational
performance reveals information about organizations' structures and about
the feasibility of development partnership with them.

The Increasing Value of Training

These are the four levels: satisfaction with the training, learning of th
intended KSA, application of KSA to a task, and measurable results on

organizational performance. Represented graphically, as on the preceding page, these levels form a *value-added continuum.* At each level the value training increases. Let's take a very simple example to follow the four-level model.

A small business owner depends greatly on his administrative assistant. has purchased a computer and printer and arranged for her to be trained word-processing. He would like to see her use the computer to reduce her current typing time by 2 hours each day. With the extra time available, could help him make sales calls to customers.

Considering the expense of the training to the owner—employee down-time well as direct cost, he should monitor the activity closely. He should monitor at each of the four levels. Fortunately, the owner is clear about what he wants from the training and already has established baselines.

Level 1: Satisfaction

During the five-day training course, the owner calls his administrative assistant each day to see if the course is equal to their expectations. she satisfied with the instructor? Is she able to follow the lessons? Are the lessons appropriate? Is she able to practice or is it just instructic The owner knows instinctively that learning occurs best in the right environment.

Level 2: Learning

The owner also told the training school that he wanted to know what his employee had learned by the end of the training. The school's representat showed him the curriculum for the course and explained that each student given a practical test at the end of the five days. When the course was over, the employee showed her boss the results of her test and said she ready to put her skills to work.

Level 3: Application

During the first days after her return to the job, the owner monitored th assistant's progress. He quickly saw that she applied her skills and that she was able to complete her normal work load in much less time.

Level 4: Organizational performance

Because the owner knew from the beginning what he wanted from the trainir he was able to judge its value to his business after only two months. Wit the time saved by using word-processing on a computer instead of a typewriter, the assistant began making sales calls. She had a sales retention rate of twenty percent, and this success resulted in an increas of eight percent in gross revenues for the firm. The training contributed directly to measurable organizational results. A Level Four success!

Applying The Model

The four-level model can be equally well applied to far more complex
training activities than that in the preceding example. You can apply it
in-country training dispensed to farmers in order to raise crop productiv
in a certain region; you can apply it to training for electoral assistant
in diverse cities who facilitate the transition to a democratic governmer
Just remember to ask questions relevant to each level. Were the farmers
satisfied with their trainers? What did they learn? Were they able to app
that knowledge once back in the field? If so, did their new ways of worki
raise productivity?

Why not just monitor results at Level 4?

At the end of the day, what you want to accomplish is impact on the
performance of organizations critical to achievement of strategic
objectives. In fact, if you could be sure of getting that impact, you cou
dispense with monitoring at lower levels. But you will never enjoy such
certainty. By allowing you to deal effectively with uncertainty, monitor:
will be of great value to you. First, when problems arise, monitoring wil
allow you to detect them at an early state, when they can be corrected at
little cost. Let's say, for example, that in monitoring Level 1 you disco
early on during a ten-week training that satisfaction is unusually low. Y
may be able to take some corrective action with your training provider to
improve the environment for learning. Or, let's say that after a success
training in financial analysis, you find through Level 3 monitoring that
trainees are failing to apply their skills on the job. If you want
organizational performance change, you know that you will have to take
corrective action; fortunately, you are in good time to do so.

Similarly, in those cases where you do not achieve organizational results
you can show where training has had residual value and perhaps take
advantage of that value. For example, in a simple instance in which
accountants were trained for a public enterprise that was subsequently
liquidated, if you have monitored at all levels you will know that you ha
a body of trained people who had demonstrated successful application of
their skills on-the-job. Good development practice would suggest tracking
this group of persons and using their skills in another area or instituti

Who is going to do all the work of monitoring?

There is no question that doing some monitoring means more work than doir
none. In this regard, however, you have little or no choice. Monitoring :
requirement under re engineering guidelines, it is integral to strategic
training, it is a prerequisite to reporting on results. The way to make s
that monitoring is conducted without adding intolerable burdens to full-t

mission staff is (I) to keep it simple and (ii) to source out the work.

The easiest way to make the monitoring of training results simple is to p
training clearly. If you have clear objectives for organizational and jo
performance and for your KSA, you have already established the essential
baseline data. For example, your intermediate result says that the Minist
of Labor will publish employment information on a monthly basis. You know
that certain personnel must perform differently on their jobs (analysis,
publication, etc.), and you or your contractor have determined the skills
that need to be acquired to perform that work. Those are all baselines. I
for monitoring, you follow the four-level model: (I) were the trainees fi
the Ministry of Labor satisfied with their training; (ii) did they acqui
the KSA that the training was designed to transfer; (iii) upon return to
Ministry, did they apply to their work what they had learned; and (iv) d:
this application result in the organizational performance changes desired
i.e., publication of the materials on a regular schedule?

The four-level model opens the door to simplicity of concept. Still, some
needs to gather the essential data. In many instances, the essential data
requires no sophisticated research, no statistical analysis, no extensive
surveys. Who should gather and report on the data for each level?

 For level 1, satisfaction, the training provider or a third party should
administer question naires to trainees. The questionnaires can be created
the provider for USAID approval, or by a contractor who supervises the
training provider. If the questionnaire is an approved instrument and is
administered fairly—without the influence or interference of the parties
being judged—the operating unit will receive reliable responses. If there
an intermediate contractor, that entity can be given the responsibility t
design the questionnaire, analyze the responses, and provide a report to
USAID.

For level 2, learning, the procedure can be similar. You can require your
contractor to ensure that the training provider evaluate the learning of
trainees at determined points during the training. USAID should receive a
evaluation materials with a synthesis of the information.

At level 3, application of learning, the training provider no longer assu
responsibility. In this case a contractor, grantee, or the beneficiary
organization or other partner can conduct a sample monitoring. Such
responsibilities need to appear in training agreements developed during t
planning stage, or in contracts with firms or partners who implement the
training. In some cases, such as our example from a Ministry of Labor,
uncomplicated observation should furnish all the information required.

Level 4, organizational performance, can be monitored in the same fashio
level 3. Contractors responsible for the results package, or the partner
institution itself, can conduct the data gathering. The generic question
performance analysis is, What is the organization doing now that it did n
do before? For the example from the Ministry of Labor, one would confirm
whether or not the MOL was publishing employment data in a format and on
schedule acceptable to the SO team?

How can I make sure that contractors and grantees monitor correctly?

The short answer is that you require it of them up-front. You make monitoring a part of the performance criteria in their contracts.

The longer answer is that you must plan for this activity, you must understand the basic concepts, and you must begin when writing scopes of work for PIOs. How you write these scopes of work depends entirely on the nature of the activity to be contracted. If, for example, you are contracting only with a training provider, you could ask that respondents describe how they will monitor and report on trainee satisfaction and learning. (We advise against asking training providers to monitor the results of training beyond level 2.) If you are contracting for broad services in training management —design, delivery, follow-up—, you may ask in your scope of work that respondents describe how they will monitor at each of the four levels. You can state that you want offerors to demonstrate knowledge of *Best Practices,* especially in regard to monitoring the results of training.

Once you have issued a competitive bid requiring demonstration of familiarity with the four-level model of *Best Practices*, the contract with the winning bidder should require implementation of the monitoring and reporting system. The operating unit responsible for the activity would be free of all day-to-day work in monitoring.

How can one judge the quality of bidders' proposals?

If you have told bidders clearly what you want them to monitor, competiti responses should be equally clear. Beware of systems that confuse monitor results with monitoring whole programs. Then, if you adhere to the four-level model for monitoring results, look to see that responses show understanding of each level, along the lines we suggest below:

Level 1. Instruments to gauge *satisfaction* can be applied, with little no change, to a variety of training programs. Trainees can answer questio on a numeric scale indicating degree of satisfaction with line items. Questions may inquire about degree of satisfaction with

the knowledge and understanding of the trainer(s)

the professional behavior of trainers

the quality of presentation materials

the pace of instruction

the relevance of the training to one's needs

the ability to practice the skills taught

the physical environment

freedom from unnecessary distractions.

Level 2. One cannot prepare a broadly applicable instrument to measure
learning, since the content of training programs will vary widely. One ca
however, supply an example of the kind or kinds of test that would be use
in different circumstances. One can suggest written multiple choice tests
for some kinds of instruction, physical demonstration for others. The te
should be appropriate to the KSA being transferred. One would test learn:
in training on public speaking by having trainees give a presentation rat
than with a written test.

Level 3. It is not possible to set a general standard for monitoring
application of learning to the work place. But a respondent to a request
proposal should be able to say who will assess application under differe:
circumstances. In some cases it might be the contractor, an independent
local consultant, or managers within the firm where employees are receiv:
training. The emphasis should be on reliability of data and simplicity o:
collection. Never use an elaborate survey where simple observation will
suffice.

Level 4. Remember that USAID operating units normally fund training to
change or improve the *performance* of organizations. Sometimes these
organizations will be entire institutions, sometimes they will comprise
divisions, or departments within larger institutions. In other cases, su
as farmers in a geographic or political region, they may comprise groups
people performing similar functions whose collective output can be measu:
Your scope of work will specify the organization concerned by the traini:
and your bidders should be able to say how they will trace the effects o:
the proposed training at the level of those organizations.

Table 1: The Four-Level Model for Monitoring Training Results

Levels	What to measure	Who should monitor	How
Satisfaction	Are trainees satisfied with the quality of training?	Training provider, contractor or a third party contracted specifically for this purpose	Sim for
Learning	Did trainees learn or acquire KSA required to bridge performance gaps?	Training provider, contractor, or a third party	Tes KSA tra of tes
Application	Did trainees apply new KSA to their jobs or at their	Contractor, grantee, beneficiary (partner)	Wil on

	workplaces?	organization or third party	app sho eas all be mon tak maj wor
Organizational Performance	If KSA were applied by trainees at the workplace, did that make a measurable difference organizational performance?	beneficiary (partner) organization or third party	Con org cha req pur the oth mul inf inf lev pla

What do I do next?

Re-read this sub-guide. Play with the 4-level monitoring model in your he
trying it out in as many realistic situations as you can think of. Try it
with different kinds of training you have seen in the Mission: short and
long-term, in-country, study tours, internships, and so forth. The model
applicable to nearly any training you can think of. Master the concept.
doing so, you may discover that you have new perspectives on on-going
programs.

Design, on paper, as quickly as you can monitoring models for several
training activities. Just put down the basics. You should be able to put
together the essential elements for each level in just a few minutes.

Every time you discuss a training or technical assistance activity, thin
through how you would monitor it at the four levels. You will find that
where you cannot answer for any given level, there is likely to be a gap
the conception of the activity.

Ensure that monitoring the results of training is discussed during the
planning of an activity. In strategic training, or training-for-results,
monitoring is the reverse of planning. We plan down from the organization
the training itself, we monitor back up from the training through the
organizational results.

Assume responsibility for the inclusion of monitoring in scopes of work a
solicitations for competitive bids. Help write the scopes, incorporating
requirement that bidders demonstrate familiarity with an effective
monitoring model. Make monitoring a performance criterion in contracts.

Always push the responsibility for data collection and analysis as close
the implementors and beneficiaries as possible: your training providers,
contractors and partners, customer organizations.

Allow data collection and statistical analysis to grow in scope and
complexity according to real need, not some pre-determined level of effor

ANNEX: DEVELOPING A PERFORMANCE MONITORING PLAN

What is a performance monitoring plan?

A performance monitoring plan (PMP) is a planning and managing tool for
collecting performance data. USAID reengineering guidance requires that
operating units prepare PMPs once their strategic plans are approved (se
Preparing a Performance Monitoring Plan, 1996).

In the early planning stages, a PMP should include:

- *results statements that are clear, accurate, and mutually agreeable to
stakeholders*

- *performance indicators for each result statement*

- *a detailed definition, or measurement, for each performance indicator*

- *the sources, methods, frequency and schedule for data collection*

- *the office, team, or individual responsible for ensuring that data are
collected*

- *definition of key PMP clients*

As planning progresses, the following issues should be addressed in the PMP:

- *what monitoring services will be provided*

- *how the monitoring data will be managed and analyzed*

- *how the data will reported, reviewed, and used to inform decisions*

- *which individuals or teams will be responsible for collecting, managing
and reporting data*

- what resources are required to implement the PMP

Steps in Developing a PMP

- Assemble planning team

- Clarify information needs

- Establish results, indicators, measures

- Define range of services to be provided

- Develop plans for data collection, storage, retrieval, analysis, reporting

- Outline roles, responsibilities, budget, and contracting plan for managing the PMP

There are no blueprints that can be used for monitoring all activities. The steps outlined in this section are general, and thus applicable to the full range of circumstances, including monitoring results at the level of activities (some of which may be or include training activities), of result packages, or of strategic objectives. In addition to the recommended steps for developing a PMP, we offer a few guiding principles that you can apply to developing and implementing the plan. The plan should be:

Relevant - track indicators of results-oriented processes and outcomes

Useful - provide timely information that can be applied toward improved planning and management

Feasible - not require more human or financial resources than you have access to

Simple - not have overly sophisticated data collection, storage, or analysis require ments

Flexible - capable of responding to changing needs for information

Integrated - fully coordinated with training management, reporting and planning, and complements monitoring plans for related SO/RPs

While "developing a PMP" may seem overwhelming, you should know that no one in USAID—or any other organization—has yet designed a perfect monitoring plan. Following the recommended steps will allow you to draft a preliminary PMP design that can be further developed by a contractor. At a minimum, understanding the procedures for PMP design will allow you to more effectively contract out the plan.

Assembling a Planning Team

In some cases an individual will be given primary responsibility for developing a PMP or contracting for the plan design; in other cases it w: be a team. Whichever is the case in your mission, the USAID core values (teamwork, empowerment, customer focus, and results orientation should be central to developing a PMP.

Include training **stakeholders** in PMP design. At a minimum, stakeholders should include SO/RP teams, the training activity manager, relevant contractors, key partner institutions, and representative customers. They may be full or part-time members of the team. Whatever their status, cons with them as you initiate your planning and again several times throughot the design process. Stakeholder collaboration increases the relevancy and usefulness of the PMP, and ensures that it is integrated with management planning activities, as well as with monitoring plans for related SO/RPs

Access the services of **monitoring experts**, if they are available to you. They will offer valuable experience in such areas as planning data collection and plan management. This will increase the efficiency of the design process and ensure that the plan is feasible, simple, and flexible

Clarifying Information Needs

An important early step in developing a PMP is to clarify who the client: the monitoring plan are. **Clients** *are people who can demand monitoring services.* Once you know **who will use information** from the monitoring plan you must understand **why they need the information**. This step is critical developing a PMP that is demand-driven and that does not waste resources collecting data that will not be used. Remember, the purpose of monitorir is to produce information that will improve management, planning, and reporting. To fulfill this purpose, you must understand who will use the information and how they will use it.

You can discover who the PMP clients are by talking to the stakeholders (the activity. Because you cannot assume that all stakeholders want information about all of the activity's stages and results, you must tall them— individually or as a group—about their specific information needs. is extremely useful to hold a joint meeting with stakeholders from USAID the partner institution to reach consensus about key issues. Below are several initial questions you can pose and the kinds of responses you mig get.

Who needs the information?	SO/RP team, activity manager, partners and intermediary institutions, trainees, customers, G/HCD, CDIE, contractors,training providers

Why do they need the information? What would they do with the information if they had it?	Strategic planning, improving activity design, making funding decisions, improving management and delivery of the activity, improving results, understanding barriers to progress, tracking indicators, documenting results, sharing lessons learned

This is an important initial step in developing a PMP, but it is not easy. Most clients will have strong ideas about what they need from monitoring. However, these ideas are often based on intuition and are difficult to articulate. They will know the ideal PMP when they see it, but they cannot tell you much about it *until* they see it. Seek additional assistance if you find this to be the case. (See *Guidelines for Data Collection, Monitoring, and Evaluation Plans*, 1987.)

No plan can satisfy the needs of all its clients, so you should identify who the **priority clients** are. In most cases, the priority clients will be the SO/RP teams and the partner organization. They are responsible for allocating resources and are accountable for achieving results from USAID resources.

Your PMP should specify the names of individual clients, their title and organizational affiliation, and why they need information. (See Attachment A.) This will lead you to the next step of deciding what information the plan should provide.

Clarifying Result Statements and Establishing Indicators and Measures

Once you understand who the monitoring clients are and why they want information, you can determine what information is important to them. At a minimum, they need to know about **progress toward results** at the various stages of the acceptive. Some clients will have additional monitoring questions. For example, they might want to know about the **significance of the changes**, the degree of **attribution** (how much of the change can be credited to the activity), or the level of **criticality** (how important the activity was to the change).

During the planning phase, stakeholders should have agreed on what results they expect from the activity. In developing the PMP, you must confirm or clarify the result statements. Only after this is done will you be able to establish indicators and measures for each result. You begin this process by asking questions such as:

What changes need to happen--at each stage of the activity--to achieve the key results?	Their descriptions form the basis of **results statements**, which are the **intended measurable changes**. Example: The stakeholders for private sector development expect the following change at the organizational level: increased loans from Central Bank to small and micro-entrepreneurs.
What should we look at to **see if that change has** happened?	As stakeholders define success, you establish **performance indicators** that will help you know when the change has occurred. Indicators define how to measure results along a scale or dimension. Example: Loan rate for SMEs.
How will we measure those indicators?	In most cases you will need to determine **measures** for each indicator, which may include more specific definitions of the indicators and the unit of measure. Example: Compare the number of successful SME loan applications to the total number of SME loan applications.
How much of a change do you expect and when do you expect it?	Next you set the **performance targets**, which help you further define success. You should specify quantity targets, quality, and timeliness targets for each measure. In most cases, you will need to collect baseline data before you can set realistic targets. Example: The target may be: 20% by year 2, 30% by year 3, 50 percent by year 4, and 75 percent by year 5.

At a minimum, monitoring clients should have the opportunity to confirm the result statements, and propose indicators and measures. Conducting a focus

group with key clients may be the most efficient way to complete this ste

Attachment B provides a worksheet for recording results statements, indicators, and measures for each stage of the activity.

Once you have collected this information, you should work with a monitori expert to ensure that the result statements, indicators, and measures mee **USAID standards.**

As the activity progresses and monitoring clients change, some result statements, indicators, and measures may vary. However, to conduct meaningful longitudinal analysis, you must maintain a **consistent set of indicators** throughout the life of the activity.

Characteristics of Indicators and Measures

Direct: measure the result it is intended to measure

Objective: no ambiguity about what is being measured

Adequate: as a group, all indicators/measures should measure the result sufficiently

Quantitative (where possible): use numeric values, percentages, scores, indices

Disaggregated (where appropriate): separate data by gender, age, location, etc.

Practical: feasible, affordable, timely

Reliable: allow for confidence in decision making

Source: *Selecting Performance Indicators*, 1996

You should stay focused on measuring progress toward the intended results However, you should also be open to **unexpected findings**, as these may rev important information about implementation processes and results. For example, you may monitor whether training is having an effect on the loan rate to SMEs. In talking to supervisors of trainees, you may also find th the training is increasing morale and lowering the turn-over rate of loan officers, thus reducing the operating costs of the bank. This is not the change that was intended, but it is an important "unexpected finding."

You should also plan to monitor **critical assumptions**, or those factors th are beyond the control of the development activity. Understanding and tracking a critical assumption, such as "continued support for SME loans among Central Bank officers" will help you understand, for example, why trainees are able—or unable—to introduce new SME loan procedures and practices.

Defining the Range of Services

Once you understand what information should be collected, you can determine
what should be done with the information. This will allow you, and the
monitoring contractor, to more accurately estimate the level of effort
required to implement the PMP. You can assess demand by asking the client

What do you want done with the information on a regular basis?	Data collected, stored, retrieved, analyzed, reported
Are there any other services you may want the PMP to provide occasionally?	Consulted on PMP design, instruments designed, special reports generated

Services that are requested by several clients on a regular basis will form
the **standardized services** of the PMP. The plan will provide these
continuously throughout the activity. You may also wish to office **customized
services**, which are those that are requested occasionally for a client's
unique needs. These might include helping an SO/RP team develop a data
collection plan and instruments for another contractor to administer. It may
also include special reports for client-specific use. Attachment D presents
a matrix for organizing your demand assessment.

Planning Data Collection

Once you know what information and services the clients want, you need to
find out about any preferences they might have for data collection. Ask the
clients:

How good must the data be?	This helps you set **data quality** standards for the PMP.
When and how often will you need it?	The **schedule** will be determined by the dates and frequency of when clients need information.
Hoe should it be collected?	The PMP should give at least a general idea of the data collection **sources** and **methods** to be used for collecting data.

Clients' responses to these questions will help you help develop a
cost-efficient data collection plan and write a scope of work for a
monitoring contractor, including performance standards for management of the
PMP.

Data quality standards should be high enough to provide the clients with accurate understanding of progress toward results. The PMP need not exceed these standards because you must pay for each increment of quality and accuracy, i.e., the greater the detail and degree of precision, the more monitoring system will cost. The standards should be manageable and within the budget.

To specify the quality of data collected through your monitoring system, should consider such factors as data validity, reliability, precision, b: and representativeness. These issues should be discussed with priority clients when developing the PMP and used later as standards against which the monitoring plan will be assessed.

Data Quality Issues

What degree of *validity* is needed? Will the PMP measure what you need it to measure? Will it produce information that alerts you to potential problems, and that helps USAID manage and plan more effectively?

What level of *reliability* should you seek? If the measurement is repeated with the same or similar population, will the measurement results vary? Do you need a great deal of confidence in this?

Is *precision* an issue for the clients? How detailed and accurate must the information be?

Is anyone concerned about *bias*? To what extent should you control for human factors that may influence data collection?

To what degree should it be *representative* of all the trainees and partner institutions? Should you use a micro-study (i.e., case study) or a survey? Should you survey a purposive sample or a stratified, random sample?

Source: *Manager's Guide to Data Collection*

Knowing how PMP clients feel about these issues will influence decisions about the schedule, methods, and data sources for data collection.

The schedule for collecting data will be determined by (1) which activity stage you are monitoring, (2) when you expect the indicators at that stag to be measurable, and (3) the preferences of the PMP clients. For example you can begin monitoring the planning and implementation stages when thos processes begin, and you can monitor the processes continuously. In the of training activities, you can monitor the "acquisition stage" immediate after each training program is completed. However, you may need to wait several months after completion of training to monitor the "application stage" to allow time for trainees to use their training on the job. For subsequent stage, the time it takes to realize results will increase. However, because strategic objectives are expected to be achieved within eight years, all intermediate results—including training results—must be achieved in less than eight years.

The time frame for results will be specified in the Results Framework, and depending on the level of detail of the RF, time frames for some levels of intermediate results will be specified, also. The monitoring schedule for each activity should be consistent with the RF, adding detail where needed.

You should begin collecting data in the planning phase. If this is not practical or cost-effective, you may wait until a monitoring contractor is in place. However, data must be collected before any activity is initiated to allow for a **performance baseline**. Baseline data will allow you to track performance more effectively over time and to assess the degree to which you can attribute changes to the activity. If data for any indicators are not available or are too costly to collect, you should consider changing the indicator. (See ADS E203.5.5.)

Depending on the indicator and the data collection method, you can collect data continually or occasionally. For example when monitoring a training activity, you may track an indicator such as "improved management skills" continually once the first training program is completed, using an end-of-training questionnaire and reviewing training provider course reports. However, it might be more practical to collect data on an indicator such as "increased profit margin" only once a year. You should collect data on every indicator at least annually. The most effective PMPs include on-going data collection, which reduces the need for evaluations. If an evaluation is required, a PMP will provide critical data.

Data Collection Methods are tied closely to the schedule, as well as to the following factors:

> *Information needs* – who wants the information and why they need it

> *Results and indicators* – what is being monitored

> *Data quality* – what level of confidence clients need

> *Resources* – how much money and expertise are available

Select a method, or combination of methods, that will help you meet the objective of monitoring —improved management, planning, reporting—and that meets the specific needs of the clients. The methods should be affordable and manageable.

Although you may wish to leave specific decisions about methods to experts who will help design and implement the PMP, you should be familiar with the general types of methods. There are many data collection methods to choose from, which can be categorized in various ways. USAID typically uses the following types of methods (see *Selecting Data Collection Methods and Preparing Contractor Scopes of Work,* 1985):

Representative – Representative methods, such as census and sample surveys, provide accurate estimates of the study group. Censuses collect data from all members of the group, and sample surveys collect data from statistically representative cases selected through random sampling techniques. Data

collection procedures are systematic and the measures are precise, thus maximizing comparability and minimizing bias.

Intermediate - Intermediate methods provide data that are not statistical representa tive, but still provide useful indications of the study group The study samples are often purposively selected to meet specific criteri Compared to representative methods, the measures are less precise and the procedures are less systematic, thus they are quicker and cheaper to use (For this reason they are also know as "rapid appraisal methods.") The mo common intermediate methods are key informant interviews, focus groups, direct observation, and mini-surveys. (See *Rapid, Low Cost Data Collectio Methods*, 1996.)

Micro-Study - The micro-study, or the "case study," uses many approaches (interviews, written questionnaires, on-site observation, document review to collect detailed, descriptive data from a limited number of purposivel selected sources. This method is not intended to collect data that are statistically representative, but rather to gain in-depth understanding the study group. A case may provide a longitudinal analysis, or if severa cases are studied simultaneously, cases can be compared and contrasted.

Secondary - Secondary methods compile and analyze existing data that were collected for other purposes. Secondary data can come from such sources a routine records and reports of USAID, the partner institution, implementation contractors, and training providers. Secondary data are useful whether they were collected using representative, intermediate, o cases study approaches.

The table below lists some of the more typical methods used for monitorin USAID activities and the advantages and disadvantages of each method. The table is intended only as an overview to help you decide which methods yo might propose for the PMP. You will want input on this issue from the te that implements the PMP.

Data Collection Methods

Methods	Advantages	Disadvantages
Survey questionnaire	quantitative data on specific questions; replicable	sometimes slow/c collect and analy qualitative data
Key informant interviews	rapid; low cost; in-depth, inside data; open to unexpected findings	little quantitati which to draw generalizations; biases of intervi moderator or observer; susceptible to sa difficult to repl

Focus group interviews	rapid; low cost; open to unexpected findings; group dynamics benefits	
Observation	rapid; low cost; collected in natural setting; gain perspective that informants may not report	
Informal surveys	rapid; low cost; can generate quantitative data	
Case study	detailed, in-depth data; open to unexpected findings	no quantitative d biases; difficult to replic
Document review	quickest and lowest cost	validity, accurac vary with purpose original data col

A PMP will probably combine some, if not all, of these methods. Combining qualitative and quantitative methods, using a variety of sources, and mix techniques will allow you to cross-check data, thus increasing the client confidence in the analysis. For example, you might choose to measure trainees' performance using a survey questionnaire in which trainees asse their own performance. Client's confidence in your analysis will increase you also use key informant interviews to learn what supervisors think abo the trainees' performance.

Attachment B provides a worksheet for recording the data collection metho to be used for each indicator. Attachment C is a completed worksheet bas on a hypothetical situation.

There are also a variety of sources you can use to collect data. The most common source is people, including trainees, their supervisors, partner a customer representatives. You may also use documents, such as contractor training provider reports.

The team responsible for implementing the PMP should be required to desig data collection instruments for each method they employ, i.e., written questionnaires, interview guides.

Managing the Data

As you plan how you will collect data, you should also determine how you will manage the data. PMPs will specify how data will be input, stored, retrieved, analyzed, and reported.

You will most likely use USAID's Participant Training Management System (PTMS) to manage some of the training-related data. In addition to manag basic biographical information on trainees, PTMS is capable of managing for result indicators. PTMS also has the capacity to manage generic

(mission-wide) or SO-specific indicators. It can manage results data for individual trainees or groups of trainees.

You should not plan to manage all data electronically. It is more cost-efficient to manage responses to open-ended questions and observatio data, for example, with less formal means. Simply keeping notes in noteb or file folders is sufficient for most qualitative data.

Key Analysis Questions

What is happening at each stage of the activity?

What has changed? What is the nature or extent of the change?

How close are we to reaching the targets?

How should the progress, or lack of it, effect our planning and management decisions and actions?

Whether you manage data electronically or not, you should require that the monitoring contractor turn over all data bases upon completion of their contract. This is a critical deliverable because the activity is likely to end before all results have been achieved.

In developing a PMP, you should also specify how you plan to analyze and report data. Data analysis and reporting should respond to clients' information needs, focusing on training results.

The data tabulations and interpretations will then be documented in a variety of reports, depending on the requirements in the monitoring clie Analysis and reporting should be done with the intent of improving management and planning, by providing focused information on activities a results. The frequency, content, format, and distribution should reflect this intent and should be specified in the PMP.

If you choose to minimize reporting requirements, propose alternative way to generate feedback, such as monitoring workshops. Also, if you will require other deliverables (data collection instruments, data sets) from monitoring contractor, you must specify what they are.

Managing the PMP

Specifying how the plan will be managed is especially important in estimating the resources that will be required to implement it. Proposing roles and responsibilities among stakeholders, special skills that are required for managing the PMP, a schedule, and a budget are critical elements of developing a scope of work for a monitoring contractor.

The PMP design should provide at least a rough indication of the *roles a responsibilities* for implementing and overseeing the plan. At this point you may only be able to specify which stakeholder organizations—USAID,

partner institution, or contractor—have a role in the various aspects of
data collection, data management, and PMP management. At a future point,
can specify individual names, what activities they have a role in, and wh
type of responsibility they have. (See Attachment B and C for worksheets
that include responsibilities.)

Related to the roles and responsibilities, the PMP design should define t
special skills required of the contractor. Specify the educational
background, training, field experience, knowledge about the project area
and language skills you expect of the contractor team. (See *Selecting Da*
Collection Methods and Preparing Contractor Scopes of Work, 1985.)

Another component of PMP management is a **schedule**. A schedule will speci
key dates—or time frames—and frequency for collecting, analyzing and
reporting data, and providing other monitoring services to clients.
Establish a tentative schedule by asking PMP clients such questions as:

When should monitoring begin and end?	Monitoring dates will be closely tied to the begi ending dates of the activity.
When and how often do you need data or reports?	The monitoring schedule will also be closely ti information needs of the PMP clients.

Some clients will need monitoring data to meet their reporting requiremen
such as the annual Results Review and Resource Request (R4), to make
decisions about future designs and funding. On-going collection of data v
allow you to respond to their information needs at any given time, and to
prepare annual reports.

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   Typical Budget Line Items

Salaries and wages for long and short-term technical assistance

Travel, transportation, allowances

Field office, supplies, equipment

Benefits, overhead, and fees

Contingencies
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A **budget** is a primary component of a PMP de sign. It should include line
items for the human and capital resources required to implement all aspe
of the PMP.

A budget for performance monitoring can vary enormously depending on whet
you will implement the PMP internally or contract it to local or expatri
monitoring experts, the type and number of indicators to be monitored, t
data collection methods to be used, the sophistication of the data
management plan, and the frequency and complexity of data analysis and
reporting. You may also factor in host country or counterpart contributi

Under most conditions, the budget for monitoring **and** evaluation should ra
from 3 to 10 percent of the overall budget for the activity. (See ADS
E203.5.4.) Regardless of the amount, the cost of PMP should be justified
the value added of the information it generates.

Writing a Scope of Work

**Investing time in writing the best
possible SOW will help you save time
and money later on.**

Once you have a preliminary design and management plan for the PMP, you a
prepared to write a *scope of work* for a contractor, if you plan to use a
contractor to implement the PMP. A basic understanding of PMP requirement
will also allow you to write a SOW to design the PMP, should you require
such assistance.

If a SOW is carefully written, the contractor will be better able to del
valuable information and services. In most cases, you will get what you a
for. Likewise, if you are not clear about what is required, the contracto
may waste valuable resources guessing what the clients want. If you have
carefully worked through all the previous steps, you will be able to writ
good SOW. A SOW should address the following:

Background of the activity – purpose, relationship to other SO/RP
activities

Purpose of monitoring – who will use the information, what they will u
it for

Results, indicators, measures – what information should be collected

Information services – estimate of standardized and customized service
to be provided

Data collection plan – general ideas about data quality, schedule,
collection methods

PMP management – schedule, roles and responsibilities, special skills
required

Deliverables – reports, instruments, data sets

Avoiding Common Pitfalls

Typical Mistakes in PMPs

Developing plans that are too expensive, complicated, academic, slow

Separating monitoring from management and planning

Isolating training monitoring from SO/RP monitoring plans

•Collecting too much data or the wrong data

Paying too much attention to data collection and too little to analysis

The two most common pitfalls in PMPs are collecting too much data and us:
overly complicated methods. Often, excessive amounts of data are collecte
that are never analyzed and thus prove worthless. If you do not have a pl
for using the information, do not collect it! You should also avoid data
collection methods that rely on research standards that are difficult to
achieve. These plans are unworkable and impractical in development setti

A Checklist for Developing a PMP

Despite the lack of blueprints for PMPs, there are standard questions you
should address as you custom-design a PMP:

Who needs monitoring information? Who are clients of the PMP?

**Why do they need monitoring data? What would they do with it if the
had it?**

What changes are expected at each stage of the activity?

How will you know when the change has happened?

How much of a change is expected and when is it expected?

What data do they want you to collect?

What do the clients want done with the data?

How good must the data be? When and how often do they need it?

How should the data be collected?

What are the data management requirements?

How should the PMP be managed?

What resources are needed to manage it?

If you are not able to adequately address all these issues, include them
a scope of work for whoever will design or implement the PMP.

ATTACHMENTS

A.   Sample Table of Information Users

ATTACHMENTS

A. Sample Table of Information Users

Who needs monitoring information?			What will they use the information for?
Name	Title	Organization	

B.   Worksheet for a Performance Monitoring Plan

B. Worksheet for a Performance Monitoring Plan

Training Result and Performance Indicators	Indicator Definition/Unit of Measurement	Data Source	Method of Data Collection	Data Collection and Management		Data Analysis and Reporting	
				Schedule/ Frequency	Responsible Party	Schedule/ Frequency	Responsible Party
Strategic Objective - SO:							
Level 4: Organizational Performance - IR							
Level 3: Application :							
Level 2: Learning:							
Level 1: Satisfaction:							

C. Illustrative Summary of a Performance Monitoring Plan for Training Results

C. Illustrative Summary of a Performance Monitoring Plan for Training Results

Training Stage/Result and Performance Indicators	Indicator Definition/Unit of Measurement	Method of Data Collection/ Data Source	Data Collection and Management		Data Analysis and Reporting	
			Frequency/ Schedule	Responsible Party	Frequency/ Schedule	Responsible Party
Strategic Objective - SO2: Increased income of small and micro-enterprises						
Proxy indicator to be advanced by SO team	To be advanced by SO team	To be advanced by SO team	Annual	SO Monitoring Team	Annual	SO Monitoring Team
Level 4: Organizational Performance - IR2.1: Increased loans from Casual Bank to SMEs						
Loan rate	Number of loans offered to SME compared to number of SME applicants	Document review of Casual Bank records, focus group interviews with customers	Annual	RP Monitoring Team	Annual	RP Monitoring Team
Level 3: Application of Learning - New SME loan application practices and procedures introduced						
Staff attitude toward customers	1-Quality of staff greeting 2-Degree of helpfulness in responding to questions/concerns	Onsite observation of loan department staff; key informant interviews with loan staff supervisors and customers; document review of loan application instructions and forms	Semi-annual, 6 months after completion of each training program	Training Consultants	Semi-annual, monitoring reported more frequently	Training Consultants and RP Monitoring Team
Loan application procedure	1-Level of customers' comprehension of instructions 2-Number of questions on application 3-Number of steps in approval process					
Level 2: Learning - Improved skills, knowledge, and attitudes to customer relations and loan applications						
Knowledge level/Attitudes	Percentage of trainees describing new approaches in dealing with customers	Survey questionnaire administered to trainees, document review of training provider reports	Annual, upon completion of each training	Providers, Training Monitoring Team	Semi-annual	Training Monitoring Team
Skill level	Percentage of trainees demonstrating skills in developing procedures and forms for loan applications	Survey questionnaire administered to trainees, document review of training provider reports	Annual, upon completion of each training	Training Providers, Training Mon Team	On-going, monitoring reported	Training Consultants
Level 1: Satisfaction - Trainees satisfied with the content and quality of training						
Trainee satisfaction	Status of SO2 achievement and Casual Bank's performance	Questionnaire administered to trainees	Upon completion of each training course	Training Providers	On-going, monitoring reported	Training Consultants

D. Demand for Monitoring Services

D. Demand for Monitoring Services

Training Stage	Standardized Services				Customized Services		
	Collect Data	Store/ Retrieve Data	Analyze Data	Report Data	Design Plan	Design Instruments	Generate Special Report
Level 1: Satisfaction							
Level 2: Learning							
Level 3: Application							
Level 4: Organizational Performance							

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STRATEGIC TRAINING FOR USAID

INTRODUCTION

Strategic Training for USAID is a synthesis of HRDA *Best Practices Guide* of research and application of performance measurement conducted by AMEX International, Inc. during a two-year period beginning in 1994. The purpose of this document is to allow operating unit managers to implement high-impact training without extensive study of the theory or practice of the concept.

The document comprises two parts. Part One, "The Principles of Strategic Training," describes its nature and significance, delineates its central elements, and gives examples of the abrupt changes that adoption of strategic training will bring about. Part Two, "Guidelines for Training Implementation," is intended to serve missions in the execution of each phase of the training cycle. The entire document is firmly grounded in the HRDA *Best Practices Guide* and is fully consistent with Agency policy. It establishes the basis for a new approach to training which supports results-orientation and teamwork with partners. The approach presented applies to all training, irrespective of technical area, location, or

duration.

It is our hope that *Strategic Training for USAID* will provide the impetus
and direction for substantive change in the programming of training for all
operating units and their partners. There is no doubt that the principal
beneficiaries of this process will be the ultimate customers.

PART I: THE PRINCIPLES OF STRATEGIC TRAINING

A.   The New Approach

Changes from the past

Strategic training is not a new name for an old concept. Many of the ways in
which missions have planned training, selected candidates, and evaluated
programs will change radically if they adopt this approach. Long-term
training is likely to shrink as a percentage of overall portfolios, and
study and observation tours will be subjected to a new discipline. Third
parties, including Host Country Governments, will need to be active partners
in Results Packages if they are to have any role in the selection of
candidates.

Does this departure from old ways imply that missions must reject their
accumulated knowledge on training? Fortunately, it does not. It means, in
fact, taking the best of lessons learned and adapting them to the context of
reengineering. The HRDA *Best Practices Guide* and accompanying subguides,
which are based on the finest contemporary thinking on training, have
largely accomplished this task. They articulate the mechanism of strategic
training for development assistance. USAID missions should absorb Best
Practices into their programming and ensure that partners and contractors
alike embrace the new approach.

Strategic training is a powerful tool, an indispensable companion to results
focus. It does not sit easily, however, with the old ways of doing business,
and as it takes its place in missions, it will leave some victims:

• Scholarship, or bursary, programs and their equivalent in observation
tours;

• General response to needs in important partner institutions;

• Training that lies outside the perimeters of an operating unit's focus,
even when deemed to support highly worthy causes.

For those who believe that USAID's mission is to cultivate the best and
brightest of a country through long-term academic programs or special study
tours, who wish to do broad-based institution-building, and who desire to be
able to respond to compelling needs, wherever they may lie, these losses

real. Nonetheless, the advantages of doing training strategically offer
generous compensation. And it is the only way to do training under the
directive of results-orientation.

Description

Strategic training is known in corporate and consulting milieus as
high-impact training. In the USAID context, strategic training is
high-impact training that *directly* furthers attainment of intermediate
results. It differs from much traditional training in targeting very
specific objectives rather than in aiming at general improvement.
Traditional training was typically activity-based and was evaluated in te
of outputs, such as numbers of people trained, or inputs, such as number
courses offered. Strategic training, on the other hand, is judged by
outcomes: its impact on trainees, their job performance, and the performa
of their organizations. The cozy assumption that all training is good is
so much contested as left irrelevant. In the new context, training will n
be funded, whatever its intrinsic value, unless it fits clearly in a Resu
Framework.

Another way that strategic training can be described in contradistinction
traditional, activity-based training is through its emphasis on performan
change. Strategic training strives unabashedly to change individual job
performance and organizational performance through the transfer of new
knowledge, skills, or attitudes.

The performance concept has been unnecessarily mystified. In the training
context, an individual job performance change is something one does in th
workplace that one did not do before. Of course, that change should be
clearly attributable to the learning or attitudes acquired during trainin
The description of organizational performance change is similar: somethin
the organization does better or differently as a consequence of the train
of its personnel. Since USAID's assistance is typically channeled through
institutions, strategic training's focus on organizational results shoulc
of great potential usefulness to teams intent on obtaining measurable
successes.

Advantages

In the U.S. corporate sector, strategic training has cut costs and confei
other benefits. It offers similar potential to USAID. The following are
reasons why:

Clarity of purpose

No manager, auditor, or trainee should ever have to ask why a given train
activity was programmed, what it was meant to do for beneficiaries, or hc
it fit into a mission's development hypothesis.

Better results

Strategic training gets quicker and clearer results because it focuses or

the *outcomes* of training rather than on the inputs or numerical outputs.

Ease of monitoring

Monitoring becomes easy because one cannot do strategic training without knowing clearly what one wants. That simple requirement will suffice in itself to render monitoring a straightforward process. This should be especially good news to Strategic Objective and Results Package teams in reengineered environments, where monitoring is a mandate.

Improved reporting

USAID's domestic stakeholders are clamoring for results. Interestingly, training is one area in which USAID has frequently produced demonstrable impact, but reports have often been absent, unfocused, or untimely. Strategic training, through its clarity of purpose and ease of monitoring will greatly benefit reporting.

Better management of contracts and grants

Operating units will have contracts and grant agreements that are much clearer in regard to expected outcomes, or performance, of the implementi organization. They will be able to assess the quality of performance thro results achieved, rather than by tasks completed. They will be able to h training conducted by entities with grants to the same standards as that performed by contractors.

Enhanced relations with local partners

Local organizations, both private and governmental, that benefit from USAID-funded training will enjoy closer, more effective relationships wit operating units. Training provided to host-country public agencies, for example, has often been driven by exhaustive needs assessments. Trainees have been selected for poor as well as for good reasons. Strategic train: will impose new rigors on both the focus of training and the selection o: trainees. This discipline will facilitate working relations and lead to results more fully satisfactory to all parties.

B.   Planning Strategic Training

Conditions precedent

There are two overarching conditions precedent for strategic training.

1. *Strategic training must fit in a Results Framework.*

In the USAID context, training cannot be called strategic unless it meets this condition. The first question to ask is, How does the proposed train contribute *directly* to an intermediate result?

2. *Strategic training must seek to address an organizational, or group, performance problem.*

Frequently the organization is a formal institution, such as a ministry; sometimes it comprises an informal group, such as farmers in a geographic region. In other instances, the organization may be a department, or division, of a larger institution. The important factor is that whatever entity, it have a recognizable output which can be measured. The question ask is this: What is the institution (group, organization) not doing now that we would like to see it do after assistance, in order to achieve the expected results?

Strategic training is clear about organizational performance. It seeks to effect, or contribute to, changes in specific performance areas, such as productivity, quality of service, or efficiency in processes. It seeks these changes because they are shown in the Results Framework to be necessary for achieving a determined objective.

For any training activity, the responsible party in a Results Package Tea should be able to explain in concrete detail the organizational performan problem to be addressed. Training programmed simply to strengthen a partn institution is not strategic.

These, then, are the two primary conditions for strategic training: that directly contribute to intermediate results, and that it directly address organizational performance problem.

Other important criteria

Strategic training is never projected on the basis of intuition, best guesses, or hunches about what is needed. This does not imply that every aspect of planning requires a formal study: needs assessments of institutions can sometimes be conducted by simple walk-throughs, or documented by personnel with long tenure and reliable insight. But a coherent logic must support each proposed training activity. The six criteria below embrace the essential elements of this logic:

• *All training responds to identified needs in the group, organization, institution.*

These needs should be directly relevant to the institutional performance problem. A ministry of agriculture may have needs ranging from word processing skills for all clerical personnel to executive leadership for minister. But if a Results Package focuses on extension services, it shou not attend to training needs outside of the extension department, no matt how persuasive the case for their importance.

Adherence to this discipline will affect needs assessments. Rather than plunging directly into training needs assessments, operating units shoul conduct organizational performance assessments, of which evaluations of training needs form one component. Failure to conduct organizational

performance assessments risks omitting other necessary solutions to a
performance problem or even proposing training when it is not a solution
all. Secondly, needs assessments should focus on relevant organizations
sub- organizations. In the past, missions have commissioned sweeping
training needs assessments for entire institutions without regard to the
Results Framework. This practice should cease. Targeted needs assessments
will save costs and generate far more useful studies.

- *The impact of the training can be described in terms of changes in
workplace performance*.

Any manager who proposes a training action should be prepared to describe
not just the institutional performance problem to be addressed but also how
the training will alter the way trainees work once they return to their
jobs. This criterion holds firm whether the trainee is a bookkeeping clerk
or a chief executive officer.

Some staff may protest, initially, that to describe workplace changes is
unreasonable demand, or that it requires excessively detailed knowledge.
is neither one nor the other. To propose training as a means to improve
institutional performance is tantamount to proposing that specific jobs be
performed differently or better. One does not train an institution, one
trains individuals. And in most professional contexts one trains them to
perform in some different or improved manner on-the-job. To propose
results-focused training is to know what that job performance should be.

- *Strategic training rests on an analysis of requisite knowledge, skills
and attitudes*.

Training imparts knowledge, skills, and attitudes. That is all it can do.
This limited function makes it arguably the most powerful tool available
development professionals, since only effective transfer of knowledge and
skills can assure the sustainability of programs.

Should a manager who proposes a training program be able to specify the
precise knowledge or skills to be acquired through it? Not necessarily,
although he or she should have some notion of requirements, since the
individual has already identified job performance changes. But before the
training delivery is contracted out, there must be precise analysis of
skills needed. These skills or knowledge must be the right ones to enable
trainees to make the desired changes in their workplace. The logic of
progressing from acquired skills to job application to organizational
(group) results is seamless, and all personnel should understand it. It is
the essence of strategic training.

- *The choice of training location and duration should match real needs*.

Far too frequently, training in the past was divided into short-term or
long-term, in-country or participant, based on budgetary constraints rather
than on training requirements. The historic bias in favor of U.S. training
was reflected in Handbook 10, which did not even address in-country
programs. The new guidance contained in ADS 253 has taken into account the

very favorable evaluations of in-country training in many missions. Numer
impact assessments of participant training have demonstrated a higher rat
of impact from short-term training than from degree programs.

Short-term training is likely to find favor in a results-oriented
environment. In-country training enjoys advantages of cost-effectiveness
ease of oversight, among others. Decisions on length of training and
location will most likely be the right ones when they are dictated by the
objectives for the training itself. Strategic training will ask, What is
best length of training and best location to obtain the learning necessar
to effect changes in the workplace? Missions should avoid long-term overs
training unless the payoff for the realization of Strategic Objectives is
evident.

• *Training programs should aim at right numbers of trainees*.

Right numbers can be equated to the concept of critical mass, which argue
that one must train sufficient numbers of people in an organization to ma
an impact on its performance. The concept, unexceptionable in theory, has
been too often interpreted to mean that one should train as many people a
feasible. In fact, under some circumstances the *right number* could be one
two persons; in others it could be fifty. The organizational performance
analysis should precede any estimates of numbers.

• *Trainees should be selected on the basis of their ability to effect t
workplace and organizational changes desired.*

The implications of this criterion may disrupt established procedures. In
the worst cases of trainee selection, missions have simply accepted a giv
number of people in lists sent by government agencies. Such lists almost
invariably include persons who are being rewarded with a privilege, who a
being removed for convenience, or who have compelling personal reasons fo
travel.

In the better cases of selection, formal committees select trainees based
their academic prowess, their ability to articulate their objectives, and
their record of professional competency. Such criteria are not unimportan
but they fail to satisfy the most basic requirement of strategic training

Strategic training does not inquire first into the innate abilities of t
candidate; instead, it asks who are the people that perform the jobs
requiring change. The questioning begins by asking, What is the
organizational (group) performance change the training is proposed as a
solution for? Then, What are the jobs that require better or different
performance? Finally, Are the people who currently do those jobs capable
learning the new skills required, and are they competent to apply them?]
the answer to the last question is affirmative, then the pool of candidat
has been identified—as long as the problem being addressed falls clearly
within a Results Framework.

Selecting the right trainees means understanding the purpose and scope o
the Results Package which the training is intended to support. A governme

clearing house cannot perform the selection function. Nor can a well-mean
body of eminent persons. Only individuals associated with the Results
Package can make such selections. Missions which have already involved
partners in their planning should encounter no difficulty in adjusting th
selection procedures.

C.   Monitoring Strategic Training

The four-level model

Training is used to transfer knowledge, skills, and attitudes. Program
managers expect that trainees will learn and apply their acquired learnin
effectively on their jobs. They then hope that the changes in job
performance will induce a positive impact on the trainees' organizations
This progressive path moves through four levels: the learning environment
the transfer of knowledge and skills, application to the job, and
organizational results or institutional performance. With each level the
value, or worth, of a training activity increases.

Proper monitoring follows each level for every training program. Monitori
training in this manner allows for timely correction of problems, easy
refinement of future programs, and accurate assessment of the reasons for
both successes and failures.

In reengineered missions, monitoring is a mandate: it cannot be avoided, nor can it be deferred until late in projects, as is the
case with evaluations. Monitoring is ongoing and signals activity managers when there are problems to attend to. Monitoring
also allows for accurate, on-time reporting.

Monitoring responsibilities

Monitoring has commonly been viewed as a time-consuming, complex, and
thankless process. The system proposed for strategic training bears none
these burdens. It is simple, transparent, well-documented, and easy to
teach. Much of it can and should be out-sourced. Training providers, for
example, should be held responsible for monitoring levels one and two:
trainee satisfaction with the learning environment and the acquisition o
knowledge and skills. Contractors with Results Package responsibilities t
encompass institutional performance may be held responsible for monitorin
at levels three and four: application of learning to the workplace and
impact on organizational performance.

By outsourcing monitoring responsibilities in this manner, the burden is
positioned where it normally should be, and mission staff are relieved o
direct involvement.

Part II, "Guidelines for Training Implementation," offers further
information on recommended procedures for monitoring, and the Best Practi
subguide, *Monitoring Training for Results*, covers the subject in detail.

D. Strategic Objective and Results Package Training Plans

Most missions should consider their Country Training Plans as obsolete.
Country Training Plans served the purpose of special projects, such as HF
or CLASP(18), and seldom if ever reflected missions' true levels of
investment in training. In an environment of results-focus and flexible
Results Packages, a new approach is in order. Strategic Objective Teams
or—even better—Results Package Teams should prepare their own training pl
for two reasons: to ensure the correct rationale for training, and to
contract effectively for services.

Ensuring the correct rationale

The first step in preparing an SO/RP Training Plan lies in institutional
performance analysis. Any intermediate result which requires that an
organization or group (such as farmers or women traders in a given region
do something differently or better than what it is doing at present
presupposes an institutional performance gap. Performance analysis will
determine whether or not training is required. Since institutional
performance is the sum of job outputs, organizational performance gaps ca
only be closed by having some jobs done differently or better.

Not all job performance requires training. If a typist knows word process
but does not have a computer at his disposal, procurement, not training,
will suffice to boost the typist's daily output. Closing performance gaps
demands training when new skills or knowledge are required to do a job in
the fashion desired. This is the kind of simple, straightforward analysis
that should precede every proposal for training; it forms the essence of
training plan. The basic questions the responsible operating unit should
are:

1. What does the organization we are targeting assistance towards have t
do after assistance that it is not doing now in order to further realizat
of the intermediate result?

2. What jobs need to be done differently, and in what way, in order to
achieve this improved organizational performance?

3. Is training—the transfer of knowledge, skills, and attitudes—required
effect the desired job performance? Why?

Once these questions have been answered on the basis of sound knowledge o
the organizations, the rationale for training is established. Every
additional step follows logically from this basic analysis, and procureme
of services through performance-based contracting becomes a transparent
process.

Contracting for training services

Contracting for strategic training requires considerable work in advance

the procurement. The rewards for accomplishing this work effectively are
clear expectations and improved contractor performance. The rewards are t
same in strategic training funded under grants.

Prior to reengineering, contractors' performance in delivering training
judged almost exclusively on the basis of outputs: how many courses they
delivered, persons they trained, participants they placed. This is not to
say there was no surveillance of training quality, but such as there was
usually ceased after level 1: trainee appraisal, or satisfaction, with the
program. Rarely did missions, or their evaluation teams, trace the effect
of training on jobs and organizations. Usually they either did not posses
the appropriate models for assessing impact, or they lacked clearly
formulated objectives for doing so.

Procurement of training services can commence at several points. If an
operating unit knows precisely what knowledge and skills must be taught,
can contract directly for the design and delivery of the training based on
that information, or it can contract for appropriate off-the-shelf delive
In many cases, however, the rationale for the training may stop short of
such precision and will require a final refinement of training needs
analysis. Any such analysis should be set in the most narrow possible for
targeting only those needs required to bring about the new job performanc
which has been identified. *There is no excuse in strategic training for
conducting comprehensive institutional training needs assessments*.

In many cases, contractors (or grantees) may have broad responsibilities
Results Packages. In those instances where a contractor has funds availab
for training and has identified a need, it should follow exactly the same
procedures for establishing the rationale for training as any other
responsible entity.

When procurement for training services is secured through competitive
bidding, the operating unit has an excellent opportunity for selecting the
best provider by posing the right questions in a solicitation document. A
RFP might, for example, require the offeror to describe how it proposes t
monitor training at the different levels. Or it may simply require that t
contractor follow the *Best Practices Guide* in planning, implementing, and
monitoring strategic training.

One cannot require a training provider which has no control over the many
factors that influence institutional performance to be responsible for
change at the level of the organization; the training provider cannot eve
be held responsible for application of learning to the job. But it can an
should be held responsible for demonstrating that it has provided an
environment propitious to relevant learning and that the trainees have
acquired the essential elements of the curriculum.

PART II: GUIDELINES FOR TRAINING IMPLEMENTATION

INTRODUCTION

"Guidelines for Training Implementation" is intended to serve all operati:
units in the execution of each phase of the training cycle. It should not
viewed as an optional, or alternative, approach; it should be employed as
directive for all training for each SO Team and Results Package. It appl:
equally to contractors and grantees. Following the guidelines presented :
this document lends a guarantee that all training funded by USAID will
support strategic objectives in the most effective possible manner.

As this section of *Strategic Training for USAID* is intended to facilitate
the application of Best Practices, its format is designed like a checkli:
for ease of use. The sections follow as closely as possible the flow of
training cycle from planning to follow-on, recognizing that many activit:
are continual and resist being attached to a single phase. Each section
commences with a brief overview and follows with specific guidance in the
form of a checklist.

The concepts are presented here with minimal explanation. The user,
nonetheless, must understand them thoroughly. Partially explained in Part
of this document, they are fully elucidated in the *Best Practices Guide*
its accompanying booklets. Adherence to these guidelines for training
implementation will assure the total integration of results-focused trair
into the portfolio of operating units. Guidance on the logistics and
administration of training programs should be sought in former Handbook :
and in ADS(19) 253.

A.   THE PLANNING PROCESS

Unlike training for general development, strategic training has a precise
and narrow focus. Unlike activity-based training, it concentrates on *impa*
rather than inputs. Only those actions which fit clearly in a Results
Framework and which have a logical connection to organizational or group
performance change can be designated as strategic training. Planning for
strategic training, therefore, commences at the level of an organization
group, or institution. It asks what organizational performance changes ne
occur in order to realize an intermediate result. From that point on, it
works backwards along the value-added continuum of training, from change:
the way trainees perform their work to the new skills or knowledge they v
need to acquire. Strategic training cannot be planned or programmed on tl
basis of general institution building for primary partners. It can only l
programmed to cause specific performance changes.

The principal criteria for effective planning

**Verify that the training proposed fits clearly in a Results
Framework.**

Ensure that the training addresses an organizational, or group, performan
problem. This problem must be expressed in terms that are both specific a
measurable.

Describe the impact of the training on changes in workplace performance.
These changes are ones which will be made by trainees who apply to their
jobs the learning acquired during the training.

Specify the knowledge, skills, or attitudes the training will impart.

Make the choice of training location and duration match real needs.

**Estimate correct numbers of trainees, based on the organizational
performance analysis.**

Estimate costs.

Be clear on the person with first-line responsibility for the program.

REFERENCES

Best Practices Subguide No.1: *Contribute to Strategic Planning*

B.   COLLABORATING WITH STAKEHOLDERS

Training planned in isolation from stakeholders could be strategic in the
but condemned to failure or mediocrity in practice. Strategic training is
natural consequence of the reengineering exercise in USAID and is support
of the core values of customer focus, teamwork, empowerment, and
results-orientation. It is through collaboration with the diverse
stakeholders of a training program that one reinforces core values and
greatly bolsters chances of success in results. Stakeholders invariably
include the Results Package team, the beneficiary organization or group,
ultimate customers, and the trainees themselves. They also include the
entity responsible for organizing and managing the training. Collaboratic
with stakeholders confers a sense of ownership of the training across a
broad audience and a shared responsibility for its outcomes. Collaboratin
with stakeholders is a responsibility of both the Results Package Team an
the actual implementing organization. The criteria below do not distingu:
among these responsibilities, which will vary from program to program.

Identify stakeholder group.

    Identify client in beneficiary organization.

    Hold stakeholder meeting.

    Get agreement on organizational performance problem.

    Secure cooperation of client.

    Obtain a written training agreement with beneficiary organization.

Make stakeholder collaboration a responsibility of implementing entity.

References

Best Practices Subguides:

Collaborate with Stakeholders

Contribute to Improvements in Organizational Performance

C.   IDENTIFYING TRAINING NEEDS

Strategic training mandates a new approach to the identification of train
needs. In the past, needs assessments bore no direct, causal relationship
a measurable result, and they commonly were inventories of a vast range
needs in entire institutions. Under strategic training, a needs assessmen
is conducted only after an organizational performance problem has been
clearly identified and traced to required changes in individual job
performance. The needs assessment then reveals precisely what learning mu
be acquired to change, or improve, job performance. Under strategic
training, then, needs assessments are likely to target only some small pa
of a large institution. They apply to whatever intermediate result is in
question in a Results Framework. Properly planned, a training needs
assessment forms part of an overall organizational performance assessment
The training needs assessment will actually identify certain knowledge,
skills, or attitudes that are to be transferred to trainees.

Articulate the measurable performance change desired for the group or
organization.

Describe deficiencies in actual job performance that need to be overcome
with the organizational performance change, the job requirements should l
been identified in a previous assessment, study, or evaluation.

Ascertain that training is a proper part of the solution to the problem.

Determine the knowledge, skills, or attitudes necessary to give the train
the capacity to effect the workplace changes.

Discuss these determinations with stakeholders from the beneficiary group
organization.

Make certain that the training provider is given the mandate to impart th
knowledge or these skills.

Reference:

Best Practices subguide, *Identifying Training Needs in the Partner
Institution*

D.   SELECTING TRAINEES

Strategic training imposes new discipline on the selection of candidates
will not permit a scholarship-type selection, in which the primary criter
for choosing one candidate over another is his or her academic or
professional aptitudes. In strategic training, the planning process
discloses the jobs that must be performed differently or better in order
resolve, or contribute to resolving, an institutional performance problem
Responsible parties should inquire, Who are the persons currently perform
those jobs? Are they capable of learning new ways? Will they have the
ability and volition to apply their learning after training? If so, then
these people, or some number of them, represent the right candidates for
selection. If not, then one must seek other individuals who will be hired
perform the jobs in question and who have the requisite aptitudes. *Only
people involved in a Results Package or Strategic Objective Team can make
proper selections*. This point is extremely important, since only those
people will have the knowledge of the performance issues and solution sys
to make correct judgments.

Constitute a selection committee from the concerned Results Package Team

State first the target group, organization, firm, or institution.

Express the performance change desired.

Specify which jobs must be performed differently and how.

List the persons who do those jobs now.

Inquire into their ability to learn from and apply training.

Make selections from this pool of candidates or seek others better
qualified.

Reference:

Best Practices Guide

E.   PREPARING TRAINEES

No trainee should embark upon training without a clear understanding of t
program's explicit purpose. Under non-strategic training, participants o
departed for study tours, internships, seminars, and degree programs with
only broad notions of improvement and a commitment to submit a written
report upon return. But trainees are principal stakeholders in any train
program. As such, they have a vested interest in its success. The success
training only begins with the increased capacity of the trainee; it ends
closing an institutional performance gap. This is true of in-country, U.S
and third-country training; it is equally true of long and short-term
strategic training. The entity responsible for the training, whether a
Results Package team, a grantee, or contractor, has a responsibility to
prepare the trainees for their experience.

Whenever practicable, meet directly with trainees, either individually or
a group.

Explain the intermediate result for which the training is programmed.

Describe the institutional performance problem to be addressed and how it
relates to the intermediate result.

Explain how certain jobs must be performed differently in order to close
group, or organizational, performance gap.

Describe in clear, objective, and measurable terms the new job performanc
that will be expected of the trainee after the training.

Secure the trainee's concurrence with this expectation.

Require that the trainee prepare an action plan prior to the training wh:
details how he or she will make the necessary changes.

Do not require of the trainee the traditional trip report. Instead, mand
that he or she agree to cooperate with follow-up monitoring of the train:

Reference:

Best Practices Guide

F.   MONITORING TRAINING

Under reengineering directives, continual monitoring, rather than
end-of-project evaluation, is a mandatory procedure. Monitoring strategic
training is important because it permits timely correction of problems,
provides solid evidence of success, and serves as the vehicle through wh:
accurate reporting on results can be made swiftly and easily. Monitoring
not a mysterious body of knowledge accessible only to specialized expert:
The model developed under the Best Practices series offers an approach

easily understood and applied by managers in any technical field. In the present context, we are not concerned with overall programs, e.g. with program objectives, planning, and administration. We are monitoring here results, or effects, of training. We are tracking impact: what happens to individuals, their jobs, and their organizations once training has begun and after it is completed.

Ascertain that the planning has been strategic, i.e. has begun with an analysis of institutional performance change, working backward to knowle and skills through changes in individual job performance.

Make a simple statement of the baseline for job and organizational performance. The baseline is the present state of performance or capacity opposed to the desired state.

Plan to apply the four-level monitoring model: satisfaction, learning, application, and organizational results.

Determine which party will be responsible for monitoring at each level (Normally the training provider is responsible for levels one and two).

Write monitoring responsibilities into contracts and grant agreements; wh applicable, include levels 3 and 4 responsibilities in written training agreements.

Examine and approve the monitoring approach and instruments of each party

Specify schedules for providing monitoring data.

Require data and data summaries rather than narrative reports.

Give timely feedback on and recognition of monitoring reports.

Reference:

Best Practices Subguide, *Monitoring Training for Results*

G.   FOLLOW-ON

USAID generally uses *follow-on* to refer to post-training activities that ensure, enhance, and leverage the impact of training. Unfortunately, the term is often used with great vagueness and is associated closely with participant alumni associations. Equally unfortunately, follow-on is ofte an after-thought. Despite misconceptions, follow-on is indispensable to t overall success of programs using strategic training. Furthermore, follow cannot be planned effectively after training has been completed. Because is intended to obtain the greatest possible impact from training, it must incorporated into the planning and implementation phases of the training cycle to be effective. Alumni associations are only one among many option for post-training activities, and they are far from the most important fo follow-on for strategic training.

During the planning phase, describe in precise terms the nature of the impact desired from the training at organizational and program levels.

Establish working relationships with stakeholder groups, especially with customers in the beneficiary organization.

State a follow-on objective for any training program or group of similar programs, including in-country.

Contact existing local associations and societies that might have an interest in knowing about the training or in using or employing trainees

Ensure that trainees know clearly the programmatic objectives of their training.

Perform monitoring scrupulously. Monitoring at levels 3 and 4 (workplace application and organizational results) *is* part of follow-on.

Enter into projects for alumni organizations slowly and carefully, asking questions about purpose, interest, funding, and sustainability.

Reference:

Best Practices Subguide, *Provide Follow-on Support to Trainees and Partne Institutions*

Endnotes

1 (Popup - Source Information)
```
Developed for:
U.S. Agency for International Development
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By:
AMEX International, Inc.
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Washington, D.C.

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2 (Popup - IR)
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Intermediate Results
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3 (Popup - Source Information)
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Developed for:
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4 (Popup - HRD)
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Human Resource Development
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5 (Popup - NGO)
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Nongovernmental Organization
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6 (Popup - HRD)
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Human Resource Development
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7 (Popup - NGO)
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Nongovernmental Organization
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8 (Popup - NGO)
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Nongovernmental Organization
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10 (Popup - SO)

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Strategic Objective
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11 (Popup - IR)

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12 (Popup - HRD)

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13 (Popup - SO)

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Strategic Objective
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17 (Popup - HERNS)

Human and Educational Resources Network Support

18 (Popup - CLASP)

Caribbean and Latin American Scholarship Program

19 (Popup - ADS)

Automated Directives System